



**OPERATING GUIDE  
FOR  
THE DEFENSE ACQUISITION UNIVERSITY  
(DAU)  
FACULTY CONTRIBUTION ASSESSMENT  
PROCESS (FCAP)**

**May 2002**

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**OPERATING GUIDE  
FOR  
THE DEFENSE ACQUISITION UNIVERSITY (DAU)  
FACULTY CONTRIBUTION ASSESSMENT PROCESS (FCAP)**

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## **DEPARTMENT OF DEFENSE**

**DEFENSE ACQUISITION UNIVERSITY  
OFFICE OF THE PRESIDENT  
9820 BELVOIR ROAD  
FORT BELVOIR, VA 22060-5565**

**22 May 2002**

### **MEMORANDUM FOR DEANS /DIRECTORS/CIVILIAN FACULTY**

**SUBJECT: Faculty Contribution Assessment Process (FCAP)**

Defense Acquisition University (DAU), as well as other agencies, has been and will continue to be impacted by changes in Defense acquisition. We must continually review our accomplishments and contributions to ensure that we are properly conducting our mission and meeting all our goals. One area impacted by recent changes is faculty assessment, and consequently, faculty awards and special recognitions. As we continue to move forward, I am committed to establishing a fair and equitable recognition system. The intent is to establish a faculty assessment process that is transparent and consistent across all regions and disciplines, and based on your faculty contributions.


Earlier this year, I instituted a comprehensive review of DAU's faculty assessment and recognition process. I established an integrated team of Associate Deans and Faculty representing each DAU region and discipline. I directed the team to develop a system-wide plan which would meet four specific objectives.

- Align contribution to the University's mission and goals
- Serve as a leadership tool to manage workload
- Serve as a tool to help develop the faculty
- Serve as a tool to assess contribution

The team developed a detailed FCAP and it will be implemented during this annual Review cycle. Training will be provided on the FCAP elements and structure. You will receive an in-depth overview of the FCAP and how it will be implemented. Lastly, you will review example FCAP assessments and scenarios so that you may identify and resolve individual questions about the FCAP with your Dean/Senior Leader. Completion of training will prepare you to enter into the review and assessment process with your supervisors.

**The FCAP Operating Guide (including assessment forms) is provided for your timely review. The material will assist you in developing individual questions, and to construct a robust Individual Development Plan (IDP) tailored to these new criteria reflecting your near and long term objectives.**

**I believe this intensive training will answer your questions, and facilitate a smooth conversion process. I further believe that the FCAP will assist each of you to align and maximize your individual contributions with the needs and goals of DAU.**

  
**FRANK J. ANDERSON, JR.**  
**President, Defense Acquisition**  
**University**

**Attachment:**  
**As stated**

## **THE DEFENSE ACQUISITION UNIVERSITY FACULTY CONTRIBUTION ASSESSMENT PROCESS**

**INTRODUCTION:** The Defense Acquisition University (DAU) Faculty Contribution Assessment Process (FCAP) is a multi-purpose tool used to provide a fair and equitable method for scheduling, evaluating, and rewarding the DAU faculty and leadership. This process provides the DAU leadership the authority, control, and flexibility needed to achieve quality acquisition processes and quality products, while developing a highly competent, motivated, and productive faculty. It allows for greater faculty involvement in the evaluation process, increases communication between supervisors and faculty, promotes a clear accountability of contribution by each member of the faculty, facilitates faculty pay progression (steps) tied to organizational contribution, and provides an understandable basis for awards and salary changes (steps).

The purpose of FCAP is four-fold. It serves as a tool to help;

1. align faculty contribution to the University's mission and goals.
2. leadership plan and manage workload.
3. to continuously develop and renew our faculty.
4. assess faculty contribution.

**FCAP PROCESS DESCRIPTION:** The DAU Faculty Contribution Assessment Process (FCAP) begins with the DAU Strategic Plan and Annual Performance Plan. The process then cascades down to the development of each faculty member's Individual Development Plan (IDP). This process is a contribution/performance-based appraisal system that goes beyond an activity-based rating system. Thus, it measures the faculty member's contribution to the mission and goals of the DAU. This aligning of goals and contributions ensures that everyone is working together to make the DAU a premiere corporate university.

Using the overarching strategic plan, annual performance plan (Fast Track), and academic calendar, the Deans and Senior Leaders set and align their goals, including teaching requirements, for the year. This process will have occurred during the third and fourth quarters of the previous fiscal year. During the last week of September, the deans will align region goals with supervisor goals. From the resulting guidance the faculty members prepare their Individual Development Plans (IDP) and draft their initial contribution plans. The faculty member then meets with their supervisor to jointly review their submissions and finalize their initial contribution plans, which will be documented on the Faculty Contribution Assessment Record (FCAR) for the period. Continuing dialogue among the Headquarters, Deans and Senior Leaders, and Supervisors throughout the year will result in on-going realignment. The contribution plan integrates individual faculty goals with higher-level goals and sets up expected contributions for the coming year.

The flowchart and milestone schedule in Appendices A and B, respectively, illustrate the annual process.

**FACTORS/DISCRIMINATORS/DESCRIPTORS:** Faculty contributions are assessed by factors, discriminators, and descriptors, which are fundamental to the success of an acquisition organization and capture the critical content of a faculty position at a corporate university.

The **factors** are broadly defined areas of the DAU mission, which are the basis for assessing faculty contribution or performance. The factors are: *Teaching, Research, Professional Development, Leadership/Resource Management, Performance Support, Curriculum Development, and Knowledge Management*. The factors are not completely discrete, e.g., contribution in the area of *Research* may result in several additional contributions, such as: the development of teaching notes (a contribution in the area of *Curriculum Development*) or an input to a Community of Practice (a contribution in the area of *Knowledge Management*).

The **discriminators** are sub-categories of a factor. Considering these discriminators may assist the employee and supervisor to better formulate contribution objectives and later to assess contributions. For example, the Teaching factor has four discriminators: Knowledge, Attitude, Skills, and Awareness.

The **descriptors** are narrative statements that describe contributions or performance typical at increasing levels of contribution and are the basis for contribution assessment. Level 1 is the lowest level of contribution, Level 3 the standard, and Level 5 the highest. The descriptors indicate the contribution for the high end of each level. The descriptors are not to be used individually to assess contribution, but rather are to be taken as a whole to derive a single evaluation of the factor.

The table below reflects the range of scores:

| Descriptor Level | Range of Score |
|------------------|----------------|
| 1                | 0.0 – 1.0      |
| 2                | 1.1 – 2.0      |
| 3                | 2.1 – 3.0      |
| 4                | 3.1 – 4.0      |
| 5                | 4.1 – 5.0      |

Appendix C contains a complete listing of factors, discriminators, and descriptors.

**ADDITIONAL CONSIDERATIONS:** FCAP factors were defined to meet the goal of designing a single system to accomplish multiple objectives, e.g., the assessment of faculty contribution, and workload planning and management. In addition, the following attributes: Teamwork and Collaboration, Creativity and Problem Solving, Customer Relations, Communications and Resource Management, are generally applicable to all work activities, reflect the core values of the University, and are critical to its success. These factors shall also be considered by supervisors when assessing and assigning contribution scores.

**FACTOR WEIGHTING:** As part of the face-to-face counseling process, the supervisor and the faculty member will set priorities to accomplish the organization's mission workload and provide for the professional development of the employee. These priorities will be reflected by the various weights assigned to the factors for a particular assessment period. The



weights are recorded on the FCAR illustrated in Appendix E (DAU FCAR 1-A Form).  
(**Note:** the actual Automated FCAR used is a separate Excel (.xls) file; Appendix E is for illustrative purposes only.)

It is not incumbent on a faculty member to contribute in all seven factors areas for any single assessment period. However, supervisors and faculty members should bear in mind that contribution in multiple factor areas is ultimately important to ensure the individual's career growth and the overall success of the organization's mission.

**ANNUAL ASSESSMENT PERIOD:** The annual assessment period begins October 1 and ends on September 30 of the following year. For the transition year, the assessment period will run from 1 July 2001 through 30 September 2002.

A faculty member must be employed for 90 days to receive an assessment, an award, or a step increase.

If a faculty member transfers between DAU regions or organizational elements, the following guidance will apply as appropriate. If the transfer occurs within the first 90 days of the assessment period, the gaining organization will perform the annual assessment and fund any award/step increase. If the transfer occurs within the last 90 days of the assessment period, the losing organization will perform the annual assessment and fund any award/step increase. If the transfer occurs at any point bounded by the first and last 90 days, the gaining and losing organizations will perform the annual assessment and fund any award/step increase on a pro rata basis.

**ESTABLISHING CONTRIBUTION OBJECTIVES AT THE BEGINNING OF THE ASSESSMENT PERIOD:**

At the beginning of the assessment period, the supervisor discusses with the faculty member expectations for the assessment period, and contribution objectives are established. The supervisor and faculty member review the Individual Development Plan to ensure that the IDP and contribution plan are integrated, and both individually and collectively achievable. The IDP is developed and recorded in accordance with the guidance provided by the Office of the Provost and posted on the Provost Intranet web site. The contribution plan is developed in accordance with the guidance contained in Appendix D and recorded on the FCAR. (Additional guidance on writing contribution objectives is contained in Appendix H.)

The initial face-to-face discussions should occur within 30 days for newly hired faculty or within 30 days of the end of the previous assessment period for continuing faculty.

During the assessment period, informal and frequent communication between the supervisor and the faculty member is essential. This must include discussion of any inadequate contribution in one or more of the factors, and the development of an improvement plan.

**MID-YEAR REVIEW:** Mid-year reviews ensure that supervisors and faculty members are in sync on mission priorities and contribution objectives. Faculty members should be building their Faculty Contribution Assessment Record (FCAR) by documenting their performance and contributions to date. (Guidance on writing contribution results is

contained in Appendix H.) Adjustments to previously set contribution objectives (“course corrections”) are made at this time, as necessary.

After supervisors have completed all face-to-face mid-year discussions, the Deans and Senior Leaders will forward to the Office of the Provost a status report of faculty contributions. The *FCAP Regional Status and Awards Report* (DAU FCAR 2 Form, Appendix F) is the tool used to document this status report. The weekly Significant Activities Report (SAR) is a good venue for ensuring contributors regular visibility with the DAU senior leadership.

**OTHER REVIEWS:** Supervisors and faculty members should complete other face-to-face discussions as needed throughout the assessment period. The need for other reviews becomes necessary in cases where plans change due to “life happens” events. Examples of this include changes due to the needs of the University or a faculty member is not contributing as planned and changes are required.

**EVALUATION AT THE END OF THE ASSESSMENT PERIOD:** As the end of the assessment period approaches (typically September), the Office of the Provost will disseminate a guidance package, including suspense dates and award pool allocations (including steps) for each region. The following describes the steps of the contribution assessment process. These steps usually occur over a two-month period (typically October and November).

Step 1: At the conclusion of the assessment period, the supervisor requests that employees provide bullet comments describing their contributions throughout the year for each previously agreed upon contribution objective. As at the mid-year review, these contributions will be documented on the Faculty Contribution Assessment Record (FCAR) illustrated in Appendix E. (Again guidance on writing contribution results is contained in Appendix H.)

Step 2: The supervisor considers input from the faculty member, personal observations, and other sources as appropriate, to assess the level of the faculty member’s contribution for each factor. The results of this assessment are recorded on the FCAR illustrated in Appendix E.

Step 3: If a faculty member is detailed to another organization (other than home station) for a cumulative time period that exceeds 160 hours, the receiving organization shall provide input to the supervisor for inclusion in the assessment.

Step 4: The Dean and Senior Leaders will be the approval authority for the FCAR and any recommended award/step increase.

**ASSESSMENT BY ACADEMIC RANK:** To ensure the FCAP is a fair and equitable process, a comparative analysis of faculty will be done by each dean/senior leader, using faculty rank groupings. Examining contribution assessments for faculty at the same AD level (faculty academic rank), and comparing against each other will provide a validation of the process within a region or organizational element. The Concurrence Review Board

(CRB) described below will follow a similar process to validate university-wide process calibration.

**THE CONCURRENCE REVIEW BOARD (CRB) PROCESS:** During the introduction and transition of the Faculty Contribution Assessment Process to a steady or end state, the President, DAU, will convene a Concurrence Review Board (CRB) to ensure process calibration. The Board will be comprised of the President, Provost, Deans, and Directors of the Curriculum Development Support Center (CDSC) and Strategic Planning Action Group (SPAG), and will be chaired by the Commandant, Defense Acquisition University.

The *FCAP Regional Status and Awards Report* (DAU FCAR 2 Form, Appendix F) will be completed by each dean/senior leaders at the end of the assessment period. The faculty assessments recorded in the report from each region or organizational unit will be reviewed for consistency internally and across the University. The report provides a comparison within academic ranks. It further provides a mechanism to capture both region recommended and final awards. Further guidance and instruction are provided in Appendix F.

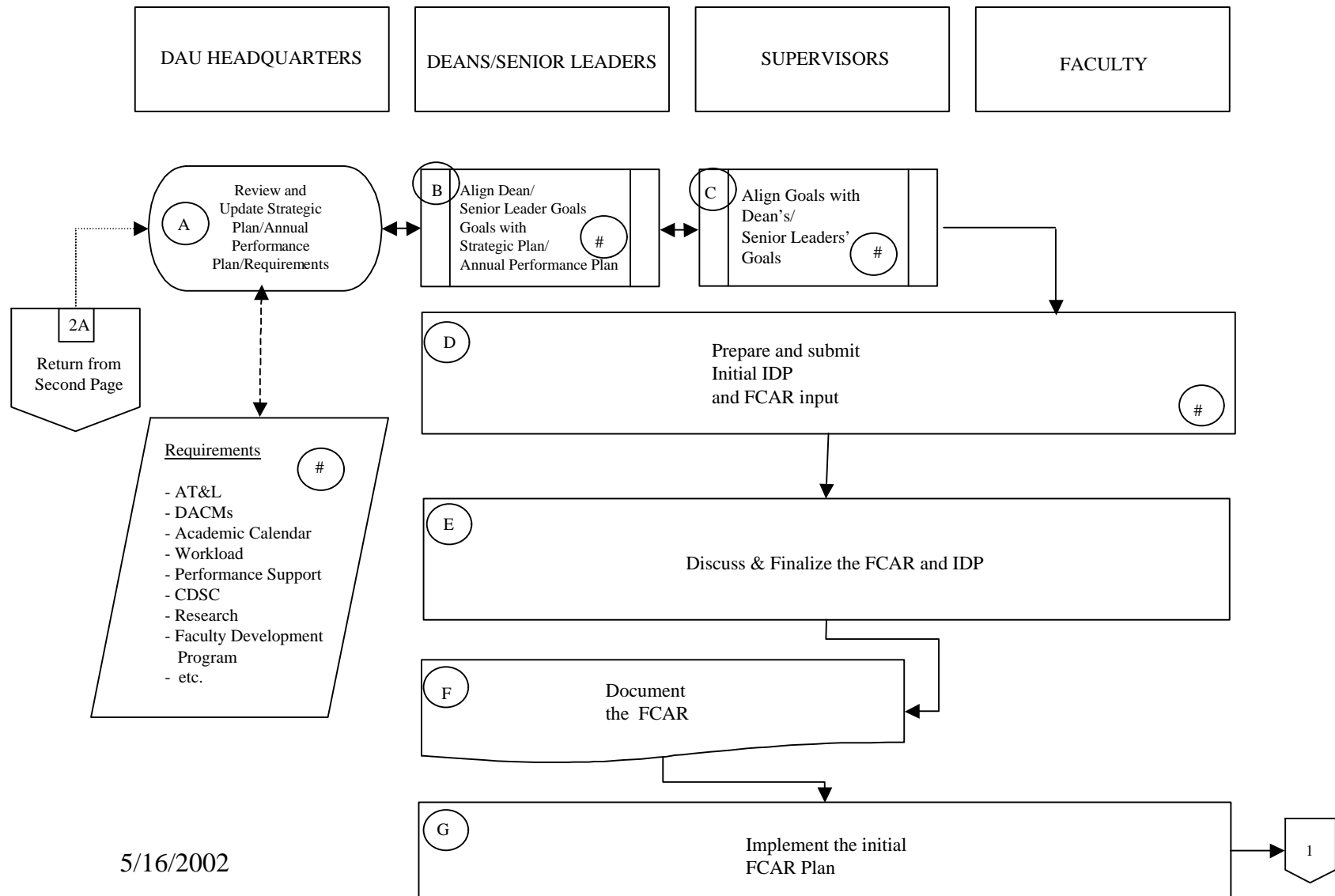
**AWARDS:** Recognition for significant contribution and performance by faculty members may be awarded by cash bonuses, step increases, or both. Each dean/senior leader will receive an award allocation for distribution to faculty. The *DAU Incentive Award Nomination and Approval* form (DAU Form 1), and instructions are available from the DAU Human Resource Office (HRO).

**FCAR RETENTION:** Copies of the initial and mid-year FCAR and any other formal reviews should be retained in the employee's local record until the end of the rating period. At the end of the rating period, the final FCAR should be retained as a permanent part of the employee's local record.

**FCAR GRIEVANCE PROCEDURES:** An employee first submits the grievance to the supervisor, who provides a recommendation to the senior rater (dean and senior leaders). The senior rater either accepts the supervisor's recommendation or reaches an independent decision. In the event the senior rater's decision is different than the supervisor's recommendation, written justification shall be provided to both the supervisor and the employee. The senior rater's decision is final, unless the employee requests reconsideration by the Commandant, DAU, who will render the final decision on the grievance.

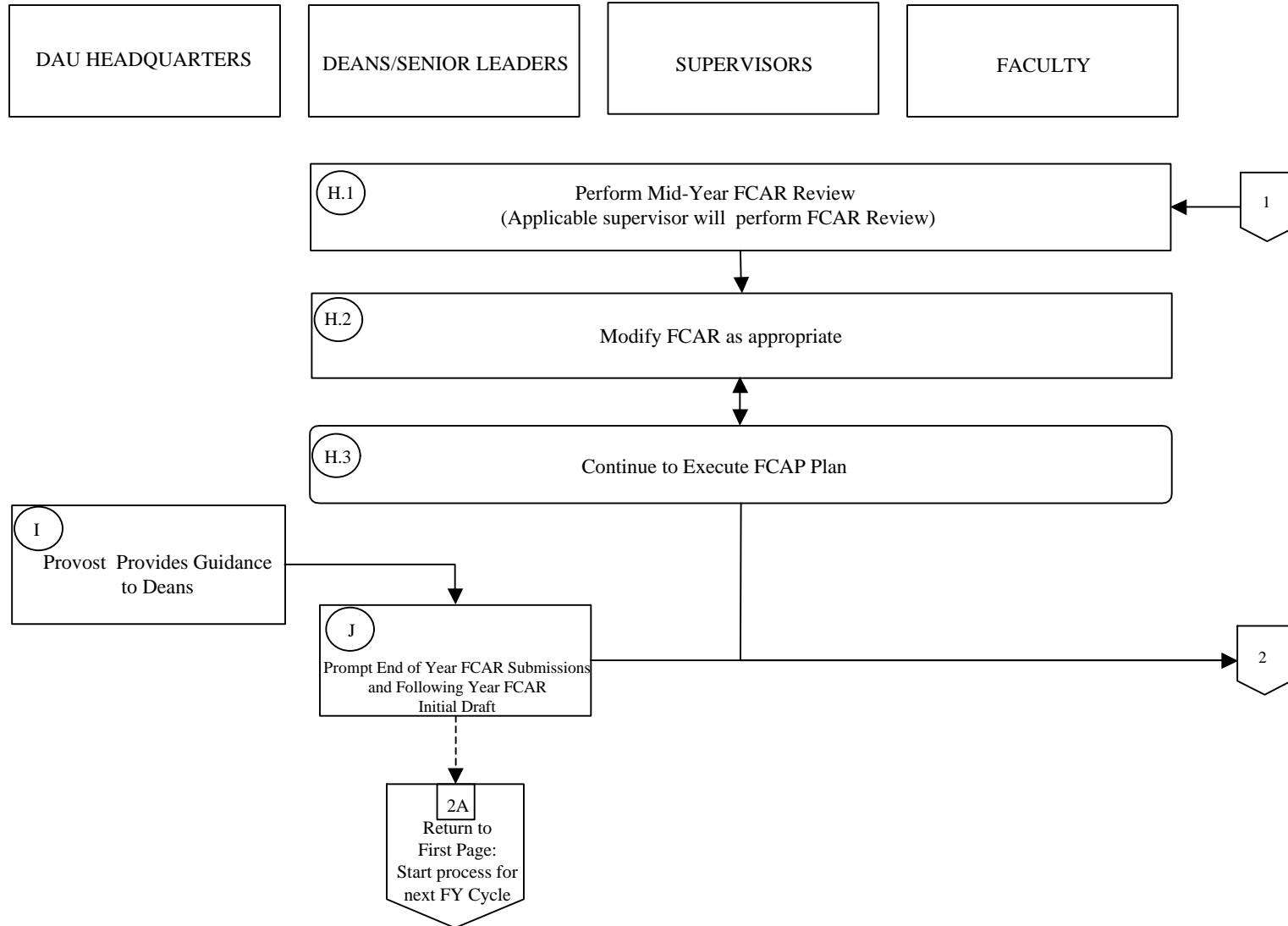
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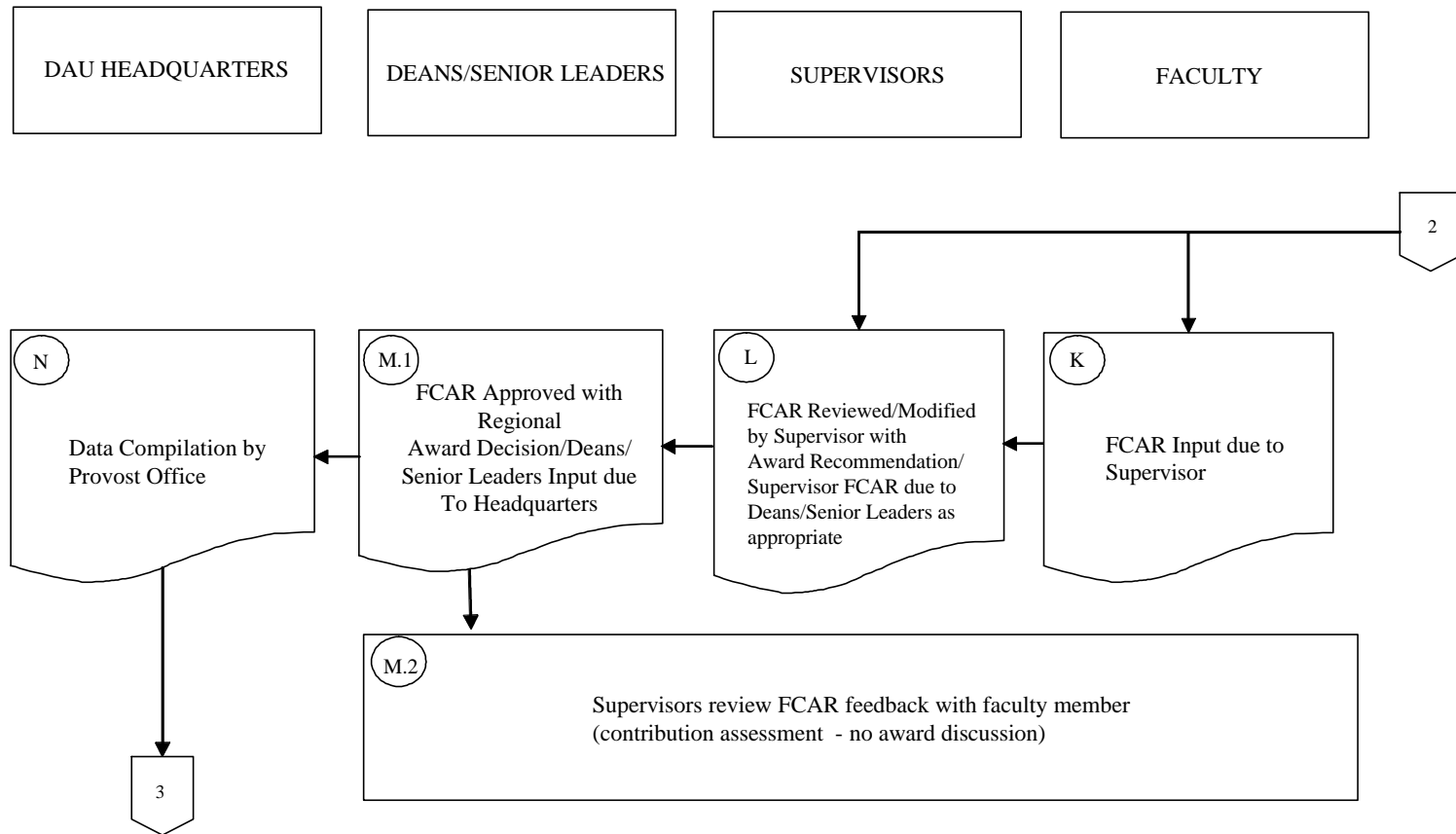
# FACULTY CONTRIBUTION ASSESSMENT PROCESS



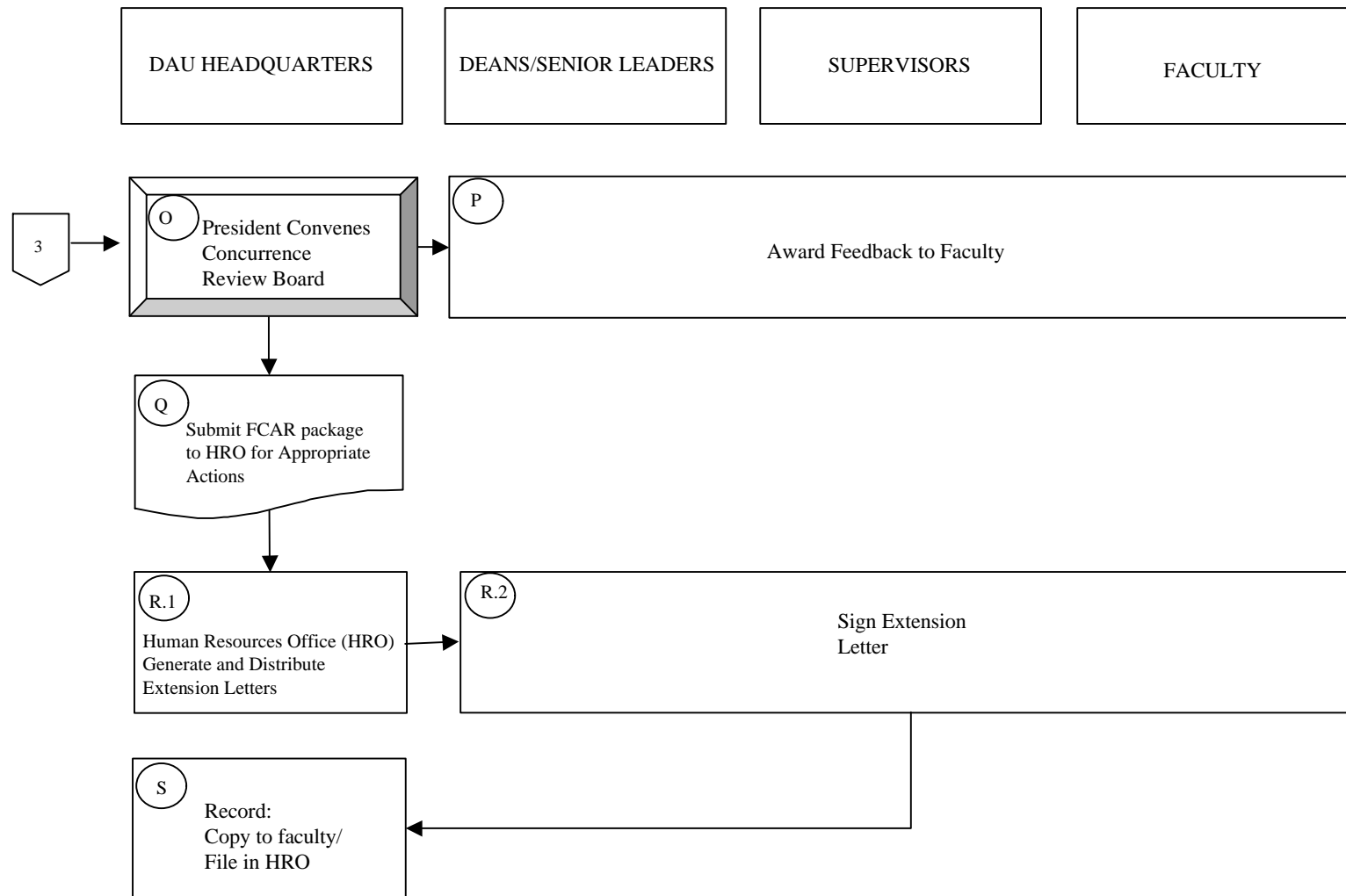
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# FACULTY CONTRIBUTION ASSESSMENT PROCESS (cont'd)



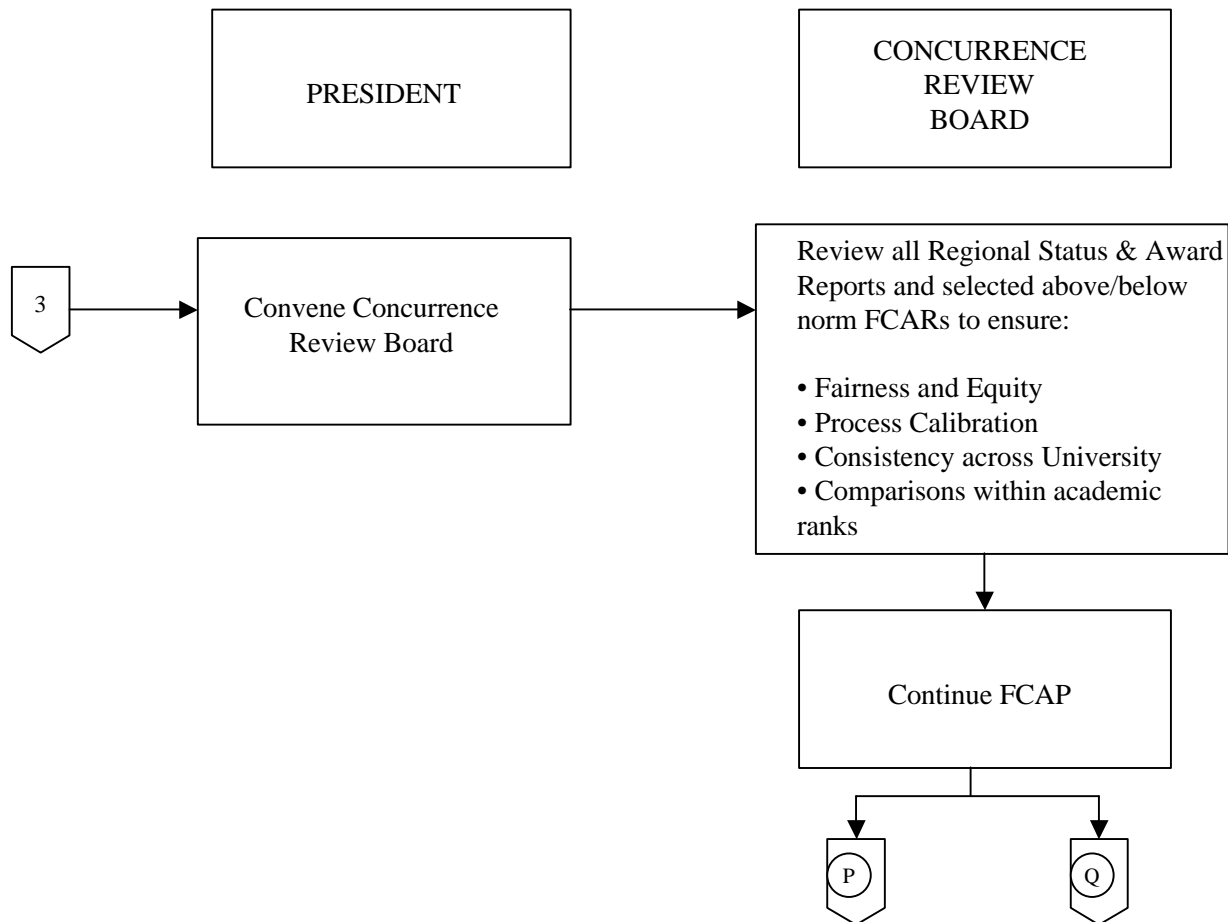


# FACULTY CONTRIBUTION ASSESSMENT PROCESS (cont'd)





## CONCURRENCE REVIEW BOARD (CRB) PROCESS (Sub-process of FCAP Flowchart Block O)



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|   | Jan        | Feb        | Mar                        | Apr        | May                         | Jun        | Jul        | Aug        | Sep                             | Oct        | Nov                                | Dec                              | Jan                         |         |
|---|------------|------------|----------------------------|------------|-----------------------------|------------|------------|------------|---------------------------------|------------|------------------------------------|----------------------------------|-----------------------------|---------|
| A. Review and Update Strategic Plan/Reqs.                   | ■ ■ ■ ■    | ▲          | As appropriate             |            |                             |            |            |            |                                 | ▲          | ■ ■ ■ ■                            | ■ ■ ■ ■                          | ■ ■ ■ ■                     | ■ ■ ■ ■ |
| B. Align Regional/Dean/Senior Leader Goals                  | ■ ■ ■ ■    | ▲          |                            |            |                             |            |            |            |                                 | ▲          | ■ ■ ■ ■                            | ■ ■ ■ ■                          | ■ ■ ■ ■                     | ■ ■ ■ ■ |
| C. Align Supervisor Goals                                   | ■ ■ ■ ■    | ■ ■ ■ ■    | ▲                          |            |                             |            |            |            |                                 |            | ▲                                  | ■ ■ ■ ■                          | ■ ■ ■ ■                     | ■ ■ ■ ■ |
| D. Prepare & submit initial draft IDP & FCAR                |            |            |                            |            |                             |            |            |            |                                 | ▲          | End of 2 <sup>nd</sup> full week   |                                  |                             |         |
| E. Discuss/finalize FCAR/IDP                                |            |            | <b>Previous FCAP Cycle</b> |            |                             |            |            |            |                                 |            | ▲                                  |                                  |                             |         |
| F. Document FCAR  |            |            |                            |            |                             |            |            |            |                                 |            | ▲                                  |                                  |                             |         |
| G. Implement the initial FCAR                               |            |            |                            |            |                             |            |            |            |                                 |            | ▲                                  |                                  |                             |         |
| <b>FY Continues</b>   | <b>Jan</b> | <b>Feb</b> | <b>Mar</b>                 | <b>Apr</b> | <b>May</b>                  | <b>Jun</b> | <b>Jul</b> | <b>Aug</b> | <b>Sep</b>                      | <b>Oct</b> | <b>Nov</b>                         | <b>Dec</b>                       | <b>Jan</b>                  |         |
| H. Perform Mid-Year Review                                  |            |            |                            | ▲          | 2 <sup>nd</sup> week (FY03) |            |            |            |                                 |            |                                    |                                  |                             |         |
| I. Provost provides guidance to Dean/Senior Leader          |            |            |                            |            |                             |            |            | ▲          | End of 3 <sup>rd</sup> week     |            |                                    |                                  |                             |         |
| J. Dean/Senior Leader prompts faculty to prepare FCAR       |            |            |                            |            |                             |            |            | ▲          | 1 week after Provost's guidance |            |                                    |                                  |                             |         |
| K. FCAR Inputs due to Supervisors                           |            |            |                            |            |                             |            |            |            |                                 | ▲          | 1 week after 1 Oct                 |                                  |                             |         |
| K. FCAR/IDP for next FY due to Supervisor                   |            |            | <b>Current FCAP Cycle</b>  |            |                             |            |            |            |                                 | ▲          | End of 2 <sup>nd</sup> full week   |                                  |                             |         |
| L. Supervisor Rating Completed/Submit to Dean/Senior Leader |            |            |                            |            |                             |            |            |            |                                 | ▲          | Start of 3 <sup>rd</sup> full week |                                  |                             |         |
| M.1 Dean/Senior Leader approves FCARs                       |            |            |                            |            |                             |            |            |            |                                 |            | ▲                                  | 1 <sup>st</sup> Friday           |                             |         |
| M.2 Dean/Supervisor Perf Feedback Completed                 |            |            |                            |            |                             |            |            |            |                                 |            | ▲                                  | Start of 2 <sup>nd</sup> week    |                             |         |
| N. Data Compilation by Provost Office                       |            |            |                            |            |                             |            |            |            |                                 |            | ▲                                  | Start of 2 <sup>nd</sup> week in |                             |         |
| O. President Convenes CRB                                   |            |            |                            |            |                             |            |            |            |                                 |            | ▲                                  | Before 15 Nov                    |                             |         |
| P. Awards discussed with Faculty                            |            |            |                            |            |                             |            |            |            |                                 |            | ▲                                  | 1 week after board               |                             |         |
| Q. Submit Final Evals to HR for Action                      |            |            |                            |            |                             |            |            |            |                                 |            |                                    | ▲                                | 1 <sup>st</sup> week        |         |
| R. Extension Letters Generated/ Faculty Sign                |            |            |                            |            |                             |            |            |            |                                 |            |                                    | ▲                                | 2 <sup>nd</sup> week        |         |
| S. Signed Letters sent to HRO for Records                   |            |            |                            |            |                             |            |            |            |                                 |            |                                    | ▲                                | End of 2 <sup>nd</sup> week |         |

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**FACTORS/DISCRIMINATORS/DESCRIPTORS****FACTOR 1: TEACHING****FACTOR DESCRIPTION:**

This factor details the effectiveness of a faculty member to contribute to the DAU teaching mission and goals.

**EXPECTED PERFORMANCE CRITERIA** (Applicable to all contributions at all levels):

Faculty members are expected to demonstrate their ability to convey knowledge through the use of a variety of tools and techniques. To successfully contribute to the DAU teaching mission and goals, a faculty member is expected to display the characteristics of each of the descriptors below.

Descriptors indicate the type of contribution for the high end of each level. Descriptors are not to be used individually to assess contributions, but rather are to be taken as a group to derive a single evaluation of the factor.

A benchmark of 520 hours, representing approximately 25% of available time in a man-year, has been established as a faculty teaching standard. Depending on University and region goals, a faculty member may teach more or fewer hours. A preparation time planning standard of one hour for each hour of teaching may be considered when determining the Teaching Factor Weighting; however, further adjustments may be considered to reflect the complexity of the material, robustness of changes, and faculty familiarity in the case of a new subject.

This contribution-based assessment process reaches beyond volume and activity to capture quality, effectiveness, and efficiency. The teaching factor will be evaluated with consideration of discriminators, such as knowledge, attitude, skills, awareness, and teamwork/cooperation.

**Knowledge**

An instructor's knowledge can be viewed from two aspects: educational background and subject matter expertise. These aspects can be demonstrated by utilizing a variety of techniques to help learners understand what is being taught and by drawing from a diverse set of examples and experiences.

**Attitude**

An instructor's attitude is pivotal in teaching effectively. The level of enthusiasm shown for the subject evidences attitude. It can also be demonstrated by the instructor's passion for learning and their willingness to provide additional assistance to ensure student learning.

**Skills**

An instructor's skill set for effective teaching addresses the ability to work with people, including effective communications. Skills are demonstrated in a variety of ways from verbal skills to use of learning aids, effective listening, etc.

## Awareness

An instructor's awareness permeates all of the other teaching discriminators. Awareness is three-fold in focus. An instructor must be aware of his/her strengths and limitations. The instructor must also be aware of the learners' expectations and their progress in the course. To be effective an instructor must have a sense for what is going on in the classroom. Examples include calling students by name, knowing what may be distracting a student on a personal level, or what may physically be distracting in the classroom.

## **ADDITIONAL CONSIDERATIONS**

FCAP factors were defined to meet the goal of designing a single system to accomplish multiple objectives, e.g., the assessment of faculty contribution, and workload planning and management. In addition, the following attributes: Teamwork and Collaboration, Creativity and Problem Solving, Customer Relations, Communications and Resource Management, are generally applicable to all work activities, reflect the core values of the University, and are critical to its success. These attributes shall also be considered by supervisors when assessing and assigning contribution scores.

| Level Descriptors  | Discriminators                                       |
|--|--|
| <b>LEVEL 1 (Range of Scores: 0.0-1.0)</b> <ul style="list-style-type: none"> <li>Displays focused knowledge in limited areas of the subject matter.</li> <li>Demonstrates minimal interest for student learning and/or the subject matter.</li> <li>Demonstrates familiarity with instructor presentation skills.</li> <li>Occasionally provides an adequate learning environment.</li> </ul>  | Knowledge<br>Attitude<br>Skills<br>Awareness         |
| <b>LEVEL 2 (Range of Scores: 1.1-2.0)</b> <ul style="list-style-type: none"> <li>Displays a basic level of general knowledge of subject matter.</li> <li>Demonstrates limited interest in the level of student learning and/or the subject matter.</li> <li>Presentation skills displayed show adequacy and increasing proficiency.</li> <li>Provides an adequate learning environment.</li> </ul>   | Knowledge<br>Attitude<br><br>Skills<br>Awareness     |
| <b>LEVEL 3 (Range of Scores: 2.1-3.0)</b> <ul style="list-style-type: none"> <li>Demonstrates a satisfactory level of subject matter expertise during delivery of lesson materials.</li> <li>Exhibits a satisfactory level of interest in student learning and of the subject matter</li> <li>Demonstrates satisfactory proficiency with instructor presentation and or facilitation skills.</li> <li>Promotes a satisfactory adult learning environment.</li> </ul> | Knowledge<br><br>Attitude<br>Skills<br><br>Awareness |

|  |  |
|--|--|
| <b>LEVEL 4 (Range of Scores: 3.1-4.0)</b> <ul style="list-style-type: none"> <li>• Contributes additional subject matter information to enhance learning for the students and to improve curriculum effectiveness.</li> <li>• Shows genuine concern for student learning and enthusiasm in the subject material. Provides additional effort and follow-through to help ensure student learning.</li> <li>• A comfortable grasp of presentation and/or facilitation skills is clearly evident. Initiates new skill development to enhance learning.</li> <li>• Builds a comfortable adult learning environment and fosters good communication with the students.</li> </ul> | Knowledge<br><br>Attitude<br><br>Skills<br><br>Awareness |
| <b>LEVEL 5 (Range of Scores: 4.1-5.0)</b> <ul style="list-style-type: none"> <li>• Recognized and sought out by students and peers alike as the subject matter expert.</li> <li>• Clearly demonstrates a passion for student learning and for the subject material.</li> <li>• Demonstrates exemplary presentation and/or facilitation skills.</li> <li>• Readily establishes and maintains a strong rapport with the students that optimizes an adult learning environment.</li> </ul>  | Knowledge<br>Attitude<br>Skills<br>Awareness             |

## **FACTOR 2: RESEARCH**

### **FACTOR DESCRIPTION:**

This factor details research activities that contribute to DAU missions and goals.

### **EXPECTED PERFORMANCE CRITERIA** (Applicable to all contributions at all levels):

Research contributions may span a continuum of products including reports and recommendations created in the conduct of performance support or the development of case-studies, to major individual or group research projects with the objective of expanding the body of knowledge or improving DoD acquisition processes and practices. Research contributions (funded or unfunded) intended to be recognized as FCAP contributions are expected to be reported to the Research Planning Board (RPB) (subject and short description) at the time that the research is planned. Research plans for projects requiring funding will be approved by the RPB. For the purpose of tracking and measuring the progress of a research effort, supervisors must establish steps to monitor the effort. In addition, In the case of efforts approved by the RPB, the researcher must follow the procedures established by the RPB to monitor research projects.

Descriptors indicate the type of contribution appropriate for the high end of each level. Descriptors are not to be used individually to assess contributions, but rather are to be taken as a group to derive a single evaluation of the factor. In general, research should be focused on an end product that represents high utility or value to the Department of Defense. Cost to conduct the research should be as low as possible when measured in relation to the value of the end product. Research conducted by faculty should strive for the highest possible return on the dollars and time invested.

### **ADDITIONAL CONSIDERATIONS**

FCAP factors were defined to meet the goal of designing a single system to accomplish multiple objectives, e.g., the assessment of faculty contribution, and workload planning and management. In addition, the following attributes: Teamwork and Collaboration, Creativity and Problem Solving, Customer Relations, Communications and Resource Management, are generally applicable to all work activities, reflect the core values of the University, and are critical to its success. These attributes shall also be considered by supervisors when assessing and assigning contribution scores.



| Level Descriptors   | Discriminators   |
|---|--|
| <b>LEVEL 1 (Range of Scores: 0.0-1.0)</b> <ul style="list-style-type: none"> <li>Provides documented inputs to a research project resulting in an article, case study or research team that provides value to the acquisition community.</li> </ul>   | Cost to conduct and utility/application of end product |
| <b>LEVEL 2 (Range of Scores: 1.1-2.0)</b> <ul style="list-style-type: none"> <li>Applied or action research that is not completed/applied within this rating period, i.e., conducts an adequate literature review in support of a larger research project, or develops and submits a research proposal that was accepted by the Research Planning Board as part of a research team.</li> </ul>  | Cost to conduct and utility/application of end product |
| <b>LEVEL 3 (Range of Scores: 2.1-3.0)</b> <ul style="list-style-type: none"> <li>Conducts research resulting in presentation to professional organizations and associations, development of a case study or product that is useful to the broader DoD community.</li> </ul>   | Cost to conduct and utility/application of end product |
| <b>LEVEL 4 (Range of Scores: 3.1-4.0)</b> <ul style="list-style-type: none"> <li>Conducts research resulting in high utility at a reasonable cost. Research resulting in published papers in refereed journals, applied research findings that were incorporated into DAU curriculum or results of research resulted in a DoD policy change. Research that has utility such that the researcher was invited/requested to present at a noted national or international symposium.</li> </ul> | Cost to conduct and utility/application of end product |
| <b>LEVEL 5 (Range of Scores: 4.1-5.0)</b> <ul style="list-style-type: none"> <li>Conducts research that delivers both high utility and a return on investment. Research resulting in fee-for-service or other monetary return to DAU which covers or exceeds the cost of the research. Serve as a Research Review Board approved advisor providing direct research technical expertise and guidance to faculty who are engaged in level 4 research projects.</li> </ul>                     | Cost to conduct and utility/application of end product |

## **FACTOR 3: PROFESSIONAL DEVELOPMENT**

### **FACTOR DESCRIPTION:**

This factor details those professional development activities that contribute to the DAU mission and goals.

### **EXPECTED PERFORMANCE CRITERIA** (Applicable to all contributions at all levels):

Faculty members are expected to continually develop their subject matter expertise, teaching capabilities and their potential to contribute to the DAU mission and to provide an expanding set of products and services to the AT&L workforce.

Descriptors indicate the type of contribution for the high end of each level. Descriptors are not to be used individually to assess contributions, but rather are to be taken as a group to derive a single evaluation of the factor.

Contributions in the area of Professional Development can be evaluated in the context of discriminators, such as currency, teaching certification, professional certification, and teamwork/cooperation.

#### **Currency/Professional Growth:**

Pertains to improvement in an individual's ability to contribute to the DAU mission and goals. (e.g., a presentation at a conference or symposium, rotational assignments, faculty professional development in education (FPDE) courses, instructor training, continuous learning, and other relevant activities that improve professional expertise and performance).

#### **Teaching certification**

Pertains to expansion of an individual's teaching portfolio (e.g., obtaining additional course teaching certification (ACQ201A, ACQ201B, SYS201, SYS301, etc.), cross-certification (teaching SYS and TST courses; BCF 204 – Intermediate Cost Analysis and BCF 205 – Contractor Finance), and required DAWIA level certification).

#### **Professional certification**

Pertains to professional recognition from an external organization (e.g., doctorate program, masters program, master certificate, professional certification (PMP, CPA, CMM, CPL, etc.).

### **ADDITIONAL CONSIDERATIONS**

FCAP factors were defined to meet the goal of designing a single system to accomplish multiple objectives, e.g., the assessment of faculty contribution, and workload planning and management. In addition, the following attributes: Teamwork and Collaboration, Creativity and Problem Solving, Customer Relations, Communications and Resource Management, are generally applicable to all work activities, reflect the core values of the University, and are

critical to its success. These attributes shall also be considered by supervisors when assessing and assigning contribution scores.

| Level Descriptors  | Discriminators   |
|--|--|
| <b>LEVEL 1 (Range of Scores: 0.0-1.0)</b> <ul style="list-style-type: none"> <li>Marginally improves in the ability to contribute to DAU mission and goals accomplishment.</li> <li>Achieved certification but does not expand teaching portfolio.</li> <li>Increases ability to contribute to DAU mission and goals, but has not yet resulted in professional recognition.</li> </ul>   | Currency<br><br>Teaching certification<br>Professional certification     |
| <b>LEVEL 2 (Range of Scores: 1.1-2.0)</b> <ul style="list-style-type: none"> <li>Fosters currency and leads to some contribution to the DAU mission and goals.</li> <li>Expands an individual's teaching portfolio and basic level of general knowledge.</li> <li>Leads to professional recognition and contributes to DAU mission and goals.</li> </ul>   | Currency<br>Teaching certification<br><br>Professional certification     |
| <b>LEVEL 3 (Range of Scores: 2.1-3.0)</b> <ul style="list-style-type: none"> <li>Directly increases individual contribution to DAU goals. Increases capability to perform as the result of knowledge gained and shared.</li> <li>Teaches additional course modules within a single functional area. Still working on certification in additional modules within that course</li> <li>Directly increases an individual's contribution to DAU mission and goals through recognized professional community contribution and knowledge sharing.</li> </ul>                     | Currency<br><br>Teaching certification<br><br>Professional certification |
| <b>LEVEL 4 (Range of Scores: 3.1-4.0)</b> <ul style="list-style-type: none"> <li>Advances knowledge or fosters changes that results in a near-term major contribution to the goals of the University, the Acquisition Workforce, or DoD.</li> <li>Advances knowledge that results in certification to teach all elements/modules/portions of a course</li> <li>Advances knowledge resulting in a degree or professional certification.</li> </ul>  | Currency<br><br>Teaching certification<br><br>Professional certification |
| <b>LEVEL 5 (Range of Scores: 4.1-5.0)</b> <ul style="list-style-type: none"> <li>Advances knowledge or fosters change resulting in significant, continuous contribution to the University, the Acquisition Workforce, or DoD.</li> <li>Advances knowledge leading to cross-certification between two or more functional areas to teach all elements/modules/portions of a course.</li> <li>Advances knowledge resulting in a degree or professional certification that increases an individual's significant, continuous contribution to DAU mission and goals.</li> </ul> | Currency<br><br>Teaching certification<br><br>Professional certification |

## **FACTOR 4: LEADERSHIP/RESOURCE MANAGEMENT**

### **FACTOR DESCRIPTION:**

This factor details individual and organizational leadership and/or supervision to include that leaders/ supervisors will recruit, develop, motivate, and retain quality faculty and staff. Takes timely/appropriate personnel actions, communicates mission and organizational goals; by example, creates a positive, safe, and challenging work environment; distributes work and empowers each individual. This factor also describes the human and financial resources, as well as the organizational management, required to accomplish DAU mission and goals.

### **EXPECTED PERFORMANCE CRITERIA** (Applicable to all contributions at all levels):

Work is timely, efficient, and of acceptable quality. Leadership and/or supervision effectively promote commitment to mission and goals accomplishment. Resources are managed effectively to accomplish DAU mission and goals. Flexibility, adaptability, and decisiveness are exercised appropriately.

Descriptors indicate the type of contribution for the high end of each level. Descriptors are not to be used individually to assess contributions, but rather are to be taken as a group to derive a single evaluation of the factor.

Contributions in the area of Leadership/Resource Management can be evaluated in the context of discriminators, such as leadership role, breadth of influence, mentoring employee development, resource management: scope of responsibility, resource management: execution efficiency, and teamwork/cooperation.

### **ADDITIONAL CONSIDERATIONS**

FCAP factors were defined to meet the goal of designing a single system to accomplish multiple objectives, e.g., the assessment of faculty contribution, and workload planning and management. In addition, the following attributes: Teamwork and Collaboration, Creativity and Problem Solving, Customer Relations, Communications and Resource Management, are generally applicable to all work activities, reflect the core values of the University, and are critical to its success. These attributes shall also be considered by supervisors when assessing and assigning contribution scores.

| Level Descriptors   | Discriminators   |
|---|--|
| <b>LEVEL 1 (Range of Scores: 0.0-1.0)</b> <ul style="list-style-type: none"> <li>Performs activities on a task; provides guidance to appropriate personnel.</li> <li>Takes initiative in determining and implementing appropriate procedures.</li> <li>Demonstrates a limited awareness of developmental opportunities for others.</li> <li>Uses assigned resources, with assistance, to accomplish tasks.</li> <li>Accomplishes assigned tasks with limited assistance.</li> </ul>   | Leadership role<br>Breadth of influence<br>Mentoring/Employee Development<br>Resource Management:<br>Scope of Responsibility<br>Resource Management:<br>Execution/Efficiency         |
| <b>LEVEL 2 (Range of Scores: 1.1-2.0)</b> <ul style="list-style-type: none"> <li>Takes initiative in accomplishing assigned tasks. Resolves routine problems within established guidelines.</li> <li>Provides inputs to others in own technical/functional area.</li> <li>Identifies developmental opportunities for others.</li> <li>Uses assigned resources to accomplish tasks</li> <li>Effectively accomplishes assigned tasks with appropriate guidance.</li> </ul>  | Leadership role<br><br>Breadth of influence<br>Mentoring/Employee Development<br>Resource Management:<br>Scope of Responsibility<br>Resource Management:<br>Execution/Efficiency     |
| <b>LEVEL 3 (Range of Scores: 2.1-3.0)</b> <ul style="list-style-type: none"> <li>Actively contributes as a team member/leader. Provides insight and recommends changes or solutions to problems. Performed activities equivalent to a conference participant or special project manager. Actively contributes in professional societies and/or community activities.</li> <li>Proactively guides, coordinates, and consults with others to accomplish projects.</li> <li>Seeks and takes advantage of developmental opportunities for others.</li> <li>Identifies and uses resources appropriately to accomplish projects.</li> <li>Independently accomplishes assigned tasks.</li> </ul>   | Leadership role<br><br>Breadth of influence<br><br>Mentoring/Employee Development<br>Resource Management:<br>Scope of Responsibility<br>Resource Management:<br>Execution/Efficiency |
| <b>LEVEL 4 (Range of Scores: 3.1-4.0)</b> <ul style="list-style-type: none"> <li>Ensures alignment of organizational direction. Provides guidance to individuals/teams. Resolves conflicts. Considered a functional/technical expert by others in the organization; is regularly sought out by others for advice and assistance. Actively contributes as an officer at a local or chapter level of a professional society or civic organization.</li> <li>Defines, organizes, and assigns activities to accomplish projects/programs goals. Guides, motivates, and oversees the activities of individuals and teams with focus on projects/programs issues. Participates as a team member, lead instructor, project leader, course manager, department chair, or in other significant DAU service activities.</li> <li>Fosters individual development of others by mentoring. Pursues or creates developmental training programs.</li> <li>Plans and utilizes appropriate resources to accomplish projects/programs.</li> <li>Effectively accomplishes projects/programs within established resource guidelines.</li> </ul> | Leadership role<br><br>Breadth of influence<br><br>Mentoring/Employee Development<br>Resource Management:<br>Scope of Responsibility<br>Resource Management:<br>Execution/Efficiency |

|   |  |
|---|--|
| <p><b>LEVEL 5 (Range of Scores: 4.1-5.0)</b></p> <ul style="list-style-type: none"> <li>• Fosters the development of and communicates the vision, mission and goals of the organization. Establishes and/or leads teams to carry out complex projects or programs. Resolves conflicts. Creates a climate in which empowerment and creativity thrive. Recognized as a technical/functional authority on specific issues. Actively contributes as an officer at a regional, national, or international level of a professional society or civic organization.</li> <li>• Leads, mentors, defines, and integrates efforts of several groups or teams. Ensures organizational mission and program success. Excels as a team member, lead instructor, project leader, course manager, department chair, or in other significant DAU service activities.</li> <li>• Fosters the development of others by providing guidance or sharing expertise. Encourages and enables employee development and cross-functional growth to meet organizational needs.</li> <li>• Plans and manages resources to accomplish multiple projects/programs goals.</li> <li>• Effectively accomplishes multiple projects/programs goals below established thresholds. Develops innovative approaches to attain goals and minimize resource expenditures.</li> </ul> | <p>Leadership role</p> <p>Breadth of influence</p> <p>Mentoring/Employee Development</p> <p>Resource Management:<br/>Scope of Responsibility<br/>Resource Management:<br/>Execution/Efficiency</p> |
|---|--|

## **FACTOR 5: PERFORMANCE SUPPORT (Consulting)**

### **FACTOR DESCRIPTION:**

Performance Support (Consulting)--This factor generally means funded and non-funded activities performed primarily to provide advice or expertise external to the University. Funding may be provided by an external agency or included as part of the institution's overall budget.

### **EXPECTED PERFORMANCE CRITERIA** (Applicable to all contributions at all levels):

Descriptors indicate the contribution for the high end of each level. Descriptors are not to be used individually to assess contributions, but rather to be taken as a group to derive a single evaluation of the factor.

Contributions in the area of Performance Support (Consulting) can be evaluated in the context of discriminators, such as utility, breadth, depth, customer satisfaction, teamwork/cooperation, and response time.

Utility: What was the impact of the project on the client, organization, and/or university?

Breadth: Does the consulting project address multi-functional issues and/or a broad segment of a single discipline?

Depth: To what extent does the consulting project exhibit mastery of the discipline or topic?

Customer Feedback: What is the level of customer satisfaction with the completed project? Did the response exhibit the appropriate speed, agility, and flexibility to satisfy the customers expectations?

### **ADDITIONAL CONSIDERATIONS**

FCAP factors were defined to meet the goal of designing a single system to accomplish multiple objectives, e.g., the assessment of faculty contribution, and workload planning and management. In addition, the following attributes: Teamwork and Collaboration, Creativity and Problem Solving, Customer Relations, Communications and Resource Management, are generally applicable to all work activities, reflect the core values of the University, and are critical to its success. These attributes shall also be considered by supervisors when assessing and assigning contribution scores.

| Level Descriptors  | Discriminators                                 |
|--|--|
| <b>LEVEL 1 (Range of Scores: 0.0-1.0)</b> <ul style="list-style-type: none"> <li>Performs activities of a limited scope and duration, which meet the customer's requirement.</li> </ul>  | Utility, Breadth, Depth, and Customer Feedback |
| <b>LEVEL 2 (Range of Scores: 1.1-2.0)</b> <ul style="list-style-type: none"> <li>Performs activities as a subject matter expert of a limited scope and duration, which have an impact on the requestor's organization/activity and meet customer requirements.</li> </ul>  | Utility, Breadth, Depth, and Customer Feedback |
| <b>LEVEL 3 (Range of Scores: 2.1-3.0)</b> <ul style="list-style-type: none"> <li>Performs activities as a subject matter expert, which have a measurable impact on the requestor's organization/activity and meet customer requirements.</li> </ul>  | Utility, Breadth, Depth, and Customer Feedback |
| <b>LEVEL 4 (Range of Scores: 3.1-4.0)</b> <ul style="list-style-type: none"> <li>Performs multi-functional, cross-discipline, or complex activities as a recognized subject matter expert, which have a significant impact on the DoD acquisition community, and which meet customer expectations. Facilitates the integration of DAU subject matter expertise and the knowledge and resources of the customer to define solutions to customer needs.</li> </ul> | Utility, Breadth, Depth, and Customer Feedback |
| <b>LEVEL 5 (Range of Scores: 4.1-5.0)</b> <ul style="list-style-type: none"> <li>Adeptly performs multi-functional, cross-discipline, or complex activities as a recognized subject matter expert, which have a significant impact on the DoD acquisition community, and which greatly exceed customer expectations. Is sought out by repeat customers</li> </ul>  | Utility, Breadth, Depth, and Customer Feedback |



## FACTOR 6: CURRICULUM DEVELOPMENT

### FACTOR DESCRIPTION:

This factor details those curriculum development and support activities that contribute to the DAU Mission and Goals.

### EXPECTED PERFORMANCE CRITERIA (Applicable to all contributions at all levels):

Faculty members are expected to accomplish courseware development to include: design, development, assessment, modernization, or maintenance activities that lead to the agility, flexibility, speed and responsiveness to include targeted-training of courses provided by DAU.

Descriptors indicate the contribution for the high end of each level. Descriptors are not to be used individually to assess contributions, but rather to be taken as a group to derive a single evaluation of the factor.

Contributions in the area of Curriculum Development can be evaluated in the context of discriminators, such as courseware development, scope of responsibilities and execution, and teamwork/cooperation.

### ADDITIONAL CONSIDERATIONS

FCAP factors were defined to meet the goal of designing a single system to accomplish multiple objectives, e.g., the assessment of faculty contribution, and workload planning and management. In addition, the following attributes: Teamwork and Collaboration, Creativity and Problem Solving, Customer Relations, Communications and Resource Management, are generally applicable to all work activities, reflect the core values of the University, and are critical to its success. These attributes shall also be considered by supervisors when assessing and assigning contribution scores.

| Level Descriptors   | Discriminators  |
|---|---|
| <b>LEVEL 1 (Range of Scores: 0.0-1.0)</b> <ul style="list-style-type: none"> <li>Displays limited knowledge of courseware development methodologies and functional area relationships.</li> <li>Provides limited input on courseware development.</li> </ul>  | Courseware Development<br><br>Scope of Responsibilities & Execution |
| <b>LEVEL 2 (Range of Scores: 1.1-2.0)</b> <ul style="list-style-type: none"> <li>Demonstrates knowledge of courseware development methodologies, and the relationship of own area of functional expertise to other areas.</li> <li>Provides courseware development input within own functional area.</li> </ul>   | Courseware Development<br><br>Scope of Responsibilities & Execution |
| <b>LEVEL 3 (Range of Scores: 2.1-3.0)</b> <ul style="list-style-type: none"> <li>Contributes innovative ideas and subject matter information to enhance courseware development, which requires the integration of functional disciplines.</li> <li>Readily contributes as a courseware development team member providing insight and recommended changes or solutions to problems.</li> </ul> | Courseware Development<br><br>Scope of Responsibilities & Execution |

|   |   |
|---|---|
| <b>LEVEL 4 (Range of Scores: 3.1-4.0)</b> <ul style="list-style-type: none"> <li>• Contributes significant subject matter expertise on innovative courseware development. Demonstrates an in-depth knowledge of the interrelationships of multiple areas of acquisition management.</li> <li>• Contributes significantly to and responsible for timely implementation and fulfillment of major initiatives related to courseware development as a team member/leader.</li> </ul>  | Courseware Development<br><br>Scope of Responsibilities & Execution |
| <b>LEVEL 5 (Range of Scores: 4.1-5.0)</b> <ul style="list-style-type: none"> <li>• Sought out as the subject matter expert on innovative courseware development. Recognized expert in development of curriculum that clearly shows the interrelationships of all areas of acquisition management.</li> <li>• Establishes and/or leads team(s) to carry out courseware development of new and innovative initiatives on a wide range of major ideas, assessments, modernizations, or maintenance efforts. Demonstrates proactive planning and superior execution.</li> </ul> | Courseware Development<br><br>Scope of Responsibilities & Execution |

## FACTOR 7: KNOWLEDGE MANAGEMENT

### FACTOR DESCRIPTION:

This factor details the effectiveness of a faculty member to contribute to the DAU knowledge management (KM) mission and goals. KM has multiple definitions that are all applicable to DAU faculty.

A. USD(AT&L) defines KM as: "A systematic process for acquiring, creating, integrating, sharing, using, and collaborating on information, insights, and experiences, to achieve organizational goals."

B. KM is sharing corporate information and knowledge to foster organizational learning.

C. KM is people, processes, and information/communications technology combined to help the acquisition workforce to accomplish its mission more easily and effectively.

D. KM is local faculty ownership of knowledge, capturing faculty knowledge in a DAU repository, and broadly sharing that knowledge inside and outside DAU through multiple user interfaces (on-line databases, web pages/portals, on-line communities of practice).

### EXPECTED PERFORMANCE CRITERIA (Applicable to all contributions at all levels):

Faculty members are expected to engage in on-line and other knowledge management initiatives by developing and supporting knowledge resources/objects for performance support and continuous learning; DoD and DAU communities of practice (CoPs); and/or knowledge management support systems.

Examples include but are not limited to:

Contributes as:

- CoP developer/leader/contributor.
- Complex on-line job aids and knowledge access tool developer/contributor.
- Website/web page developer/manager/contributor.
- DAU Integrated Curriculum Development (ICE) course area manager/contributor.

Contributes to:

- *DoD Deskbook*
- *PM Magazine/Acquisition Review Quarterly*
- Lessons learned reports
- Case studies
- Course learning modules
- Guides. Handbooks, Notes, and other contributions to the ICE

Descriptors indicate the contribution for the high end of each level. Descriptors are not to be used individually to assess contributions, but rather to be taken as a group to derive a single evaluation of the factor.

Contributions in the area of Knowledge Management can be evaluated in the context of discriminators, such as knowledge sharing, scope of responsibilities and execution, and teamwork/cooperation.

### **ADDITIONAL CONSIDERATIONS**

FCAP factors were defined to meet the goal of designing a single system to accomplish multiple objectives, e.g., the assessment of faculty contribution, and workload planning and management. In addition, the following attributes: Teamwork and Collaboration, Creativity and Problem Solving, Customer Relations, Communications and Resource Management, are generally applicable to all work activities, reflect the core values of the University, and are critical to its success. These attributes shall also be considered by supervisors when assessing and assigning contribution scores.

| <b>Level Descriptors</b>   | <b>Discriminators</b>   |
|--|---|
| <b>LEVEL 1 (Range of Scores: 0.0-1.0)</b> <ul style="list-style-type: none"> <li>Provides limited contribution to knowledge resources/objects.</li> <li>Provides limited support to knowledge management systems.</li> </ul>   | Knowledge Sharing<br>Scope of Responsibilities<br>& Execution                         |
| <b>LEVEL 2 (Range of Scores: 1.1-2.0)</b> <ul style="list-style-type: none"> <li>Supports the knowledge management system with periodic contributions.</li> <li>Provides support to knowledge management systems.</li> </ul>   | Knowledge Sharing<br>Scope of Responsibilities<br>& Execution                         |
| <b>LEVEL 3 (Range of Scores: 2.1-3.0)</b> <ul style="list-style-type: none"> <li>Readily contributes to knowledge management systems.</li> <li>Consistently and effectively supports content and quality of a knowledge management system subject area.</li> </ul>   | Knowledge Sharing<br>Scope of Responsibilities<br>& Execution<br>Teamwork/Cooperation |
| <b>LEVEL 4 (Range of Scores: 3.1-4.0)</b> <ul style="list-style-type: none"> <li>Contributes significant subject matter expertise to knowledge management area(s)/systems(s).</li> <li>Contributes significantly to and responsible for timely implementation and fulfillment of major initiatives related to knowledge management systems as a team member, team leader, facilitator, or knowledge area manager.</li> </ul>       | Knowledge Sharing<br><br>Scope of Responsibilities<br>& Execution                     |
| <b>LEVEL 5 (Range of Scores: 4.1-5.0)</b> <ul style="list-style-type: none"> <li>Recognized as a subject matter expert who consistently provides superior contributions to a knowledge management system(s).</li> <li>Develops, maintains, implements, and promotes knowledge management system(s) as a systems manager, knowledge area manager, or CoP leader. Demonstrates proactive planning and superior execution.</li> </ul> | Knowledge Sharing<br><br>Scope of Responsibilities<br>& Execution                     |

## ***DAU Faculty Contribution Assessment Record (FCAR) Contribution Planning and Reporting Form***

The Faculty Contribution Assessment Record (FCAR) is the recording mechanism used to document the planning and reporting of faculty contributions. Only one electronic form will be used for each faculty during any reporting period. The FCAR shall be updated and reviewed at least three times during the period: initial, mid-year, and final. Beyond the three required reviews the FCAR should be updated anytime there is a significant change from the agreed upon plan. The faculty member should periodically update the FCAR to record their specific contributions throughout the rating period. It is suggested that the initial and mid-year review FCARs be retained in the faculty's local record, so that changes to the objectives may be tracked throughout the period. Upon completion of the final review consultation the initial and mid-year FCARs may be discarded and the final FCAR retained as a permanent part of the local record.

### **Navigation:**

The FCAR is designed to automate certain functions so data only has to be entered once. Use the tab, arrow keys, and mouse to navigate through the form. To move across several sections at a time use the mouse, place the cursor over the desired location, and "Click" with the left mouse button.

The narrative areas must be accessed with the mouse "Click" method. These areas include: Contribution Objectives, Faculty Contribution Statements, Supervisor comments, Accomplishments, Development, Additional Remarks, and Faculty Assessment Remarks. These areas will automatically word wrap each line of text. **To begin a new line of text (carriage return) in the narrative areas it is necessary to use "Ctrl-Enter"**: Meaning that the "Ctrl key and the "Enter" (or "Return") key must be pressed together.

NOTE: The narrative areas use a Text Control box for data entry. This type of control box has two modes of operation: Run and Design. For data entry to occur Excel must be in the Run mode. If the narrative areas have a resizable box around them and the cursor is a cross-hair then Excel is in the design mode. To put Excel into the run mode follow these instructions:

1. Go to the "View" pull-down menu at the top of your Excel program, select the "Toolbars" pull-down menu, and ensure "Control Toolbox" is selected (it will have a check-mark next to it). This will add a row of tools to your icon selections.
2. From the new row of icons, find the one that looks like a triangle on top of a ruler and next to a short pencil.
3. Ensure this icon is NOT selected. To do this move the cursor over the icon and if it says "Exit Design Mode" then click on it. If it says "Design Mode" then it should already be OK.

### **Form Instructions:**

**Section I. Personal Data:** (provided by faculty member, except for face-to-face portion)

**FACULTY NAME:** Provide faculty member name using the following format: first name, middle initial, last name.

**RECORDING COMMAND:** Indicate the component of DAU to which the faculty member is attached. This could be a Region, a department, or other component.

**RATING PERIOD:** Indicate the From and To dates covered by this assessment. For the principal rater this will generally be the entire fiscal year unless recently hired or transferred. If the faculty member is detailed to another component (CDSC, rotational assignments, etc...) for greater than 160 work hours, then a separate FCAR must be submitted covering only the period of assignment. Use the following format: mm/dd/yyyy

**FACULTY POSITION TITLE:** Provide the faculty member's position and/or title currently held.

**DATE OF HIRE:** Provide the date faculty member began employment with DAU. If the faculty member was a DAU certified faculty member of one of the DAU consortium schools, then they should use the hire date for that school. If faculty member has returned after a break in service, provide the most recent hire date. Use the following format: mm/dd/yyyy

**SERIES:** Provide the current job series for the faculty member.

**ACADEMIC RANK:** Indicate the current Academic Rank of the faculty member.

**CURRENT STEP:** Provide the current pay step for the faculty member.

**DATE OF LAST STEP INCREASE:** Provide the date of the faculty member's last step increase. If the faculty member is a new hire, then indicate the date of hire.

**SUPERVISOR'S NAME:** Indicate the faculty member's supervisor, using the following format: first name, last name.

**THIS REPORT IS FOR:** Use the drop down list to select the purpose of the current iteration of the FCAR. Selections are: Initial, Mid-Year, Final, and Other. Note: this selection affects other cells in the document. **Ensure this field is properly selected.**

**FACE-TO-FACE DISCUSSIONS:** Upon completion of each phase of planning and review of the FCAR, update the faculty member and supervisor shall initial the FCAR indicating the date the plan and/or review was discussed. The senior rater(s) will initial at a later time indicating they have reviewed the results of the FCAR assessment to date.

## **Section II. Factor Weighting:** (discussed and provided by faculty member and supervisor)

**ASSESSMENT WEIGHT OF FACTORS:** This section is used to record the agreed upon distribution of emphasis for each of the factors. Each faculty member will have a unique distribution of emphasis based on planned and executed contributions throughout the assessment period. A combination of this distribution of emphasis and the contribution objectives in the next section will establish the overall planned workload model for the faculty member. The initial, mid-year, and final distributed weights shall be retained on the FCAR for

comparison across the period. **Enter the weights as a decimal figure such that: 0.1=10%, 0.25=25%, etc...**

There are seven factors. These are the over-arching areas of contribution considered in the FCAP. The sum of all the factor weightings (Factor Wt.) must equal 100%. The weight assigned should be determined giving significant consideration to the time invested in the contribution area.

The Overall Total Factor Wt. at the bottom of the section table is used as a “check sum” to ensure the factor weights total 100%.

**Section III. Detailed Factor Planning and Reporting (All Factors):** (discussed and provided by faculty member and supervisor)

This section consists of 7 separate factor planning and reporting areas described within. Each factor is planned and reported separately but applies the same process approach. Factors identified with a weight of 0% or N/A do not need to be addressed and will not be considered in the over-all total contribution score.

The following sections provide a limited area to document the faculty member contribution objectives, faculty contribution statements, and supervisor comments. The preferred entry format is a bulleted listing of objectives and contributions. Guidance on writing contribution objectives and results is at Appendix H. When the text of any one line exceeds the width of the form, it must be continued on the next line by moving the cursor to the next cell (hit return).

**CONTRIBUTION OBJECTIVES FOR THE RATING PERIOD:** The faculty member should initially complete this section as a draft to begin the initial planning discussions with the supervisor for the reporting period. The faculty member and supervisor should then review, discuss, and modify the objectives to reflect the needs of the DAU, region, department, and the faculty member. These objectives will be modified as necessary and specifically reviewed during the mid-year and final reviews to reflect changes within the reporting period.

**FACULTY CONTRIBUTION STATEMENTS:** After the initial planning objectives have been determined, the faculty member should begin recording their contributions made throughout the rating period. There is limited space, so a bulleted listing of only the most significant contributions supporting the corresponding factor should be included. This section shall provide the substantive portion of the faculty member’s draft submission inputs for both the mid-year and final reviews.

**SUPERVISOR COMMENTS:** The supervisor may provide additional or amplifying comments for each factor. If the supervisor agrees with the faculty member’s comments and has nothing in addition, then this section may be left blank. These comments, if provided, should be included for the mid-year, final, and any other interim reviews.

**FACTOR Wt.:** Automatically imported from the first page dependent upon the selected purpose of the FCAR chosen in the “This Report is for” block.

**DESCRIPTOR LEVEL:** When factors are scored this block will indicate the broad level of contribution achieved to date. (See Table below)

**FACTOR SCORE:** The Factor Score is determined by the supervisor based on first assessing the descriptor level of contribution for the factor (refer to Appendix C, Factors/Discriminators/Descriptors), then assigning a score within the range of scores. The table below illustrates the range of scores that correspond to the five descriptor levels. Note: the assigned scores are to be given in 0.1 increments. These scores are assigned by the supervisor and may be adjusted by the senior rater(s). These scores will be used to determine the overall total contribution score.

| Descriptor Level | Range of Score |
|------------------|----------------|
| 1                | 0.0 – 1.0      |
| 2                | 1.1 – 2.0      |
| 3                | 2.1 – 3.0      |
| 4                | 3.1 – 4.0      |
| 5                | 4.1 – 5.0      |

**Section IV. Supervisor's Contribution Assessment Summary:** (provided by supervisor)

**ACCOMPLISHMENTS:** This section is intended for the supervisor to summarize significant overall accomplishments and to supplement information provided in section III.

**DEVELOPMENT:** This section is intended for the supervisor to provide constructive suggestions for faculty member development and improved job performance.

**ADDITIONAL REMARKS:** This section is intended to provide the supervisor an opportunity to make any additional relevant remarks for clarification.

**Section V. Faculty member and Supervisor Print Sign and Date:** (provided by faculty member, supervisor, and senior rater(s))

This section is used to record the final review of the faculty member, supervisor, and senior rater(s) AFTER the contribution results have been assessed and the final contribution score has been determined. The time the faculty member has been under the supervision of the supervisor will be indicated. The supervisor and faculty member should sign upon conclusion of the review. If the faculty member wishes to make a statement regarding the rating, they may do so in the space provided. The senior rater(s) may sign separately upon completion of an independent review of the FCAR. When completed, the faculty retains the original. Copies will be forwarded to the DAU Personnel File and should be retained locally.

**Section VI. FCAR Contribution Assessment Compilation Form:** (automated)

The worksheet is intended to be an automated form generated from inputs previously recorded in the FCAR. The maximum Total Contribution Score is 100. A 100-score system is only used to provide a pronounced distribution of results. A brief discussion of the generation process is provided to understand the mechanics of the results.

The Factor Weight column should import directly from the Mid-Year or Final Weights agreed to and recorded in Section II dependent upon the selected purpose of the FCAR



chosen in the “This Report is for” block. The Factor Weight represents the emphasis placed on each of the seven factors. The total of the seven weights must equal 100%.

The Factor Score column imports directly from Section III. These scores represent the scores given by the supervisor or modified by the senior rater(s) that were previously recorded in the faculty and supervisor contribution results.

The Factor Value column represents the contribution score determined by the corresponding factor. It is generated by the following formula:

$$\text{Factor Value} = \text{Factor Weight} \times \text{Factor Score} \times 20$$

The Total Contribution Score is determined by the sum of the individual Factor Values.

**Note: it is normal for some Factor Values to be zero if they are not planned to be assessed.**

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| <b>DAU Faculty Contribution Assessment Record (FCAR)</b>  |                                |                           |                                   |                                |                                   |
|---|--------------------------------|---------------------------|-----------------------------------|--------------------------------|-----------------------------------|
| <b>Contribution Planning and Report Form</b>  |                                |                           |                                   |                                |                                   |
| <b>Section I. Personal Data:</b>  |                                |                           |                                   |                                |                                   |
| <b>FACULTY NAME (FIRST NAME MI LAST NAME)</b>   |                                |                           |                                   |                                | <b>RECORDING COMMAND</b>          |
|   |                                |                           |                                   |                                |                                   |
| <b>RATING PERIOD:mm/dd/yyyy</b>   | <b>FROM:</b>                   | 10/1/2002                 | <b>TO:</b>                        | 9/30/2003                      |                                   |
| NOTE: The normal FCAP rating period is October 1 through September 30. Initial planning discussions are normally conducted within 30 days from the date of hire of the new faculty member.  |                                |                           |                                   |                                |                                   |
| <b>FACULTY POSITION/TITLE</b>   | <b>DATE OF HIRE mm/dd/yyyy</b> | <b>SERIES</b>             | <b>ACADEMIC RANK (AD-1,2,3,4)</b> | <b>CURRENT STEP</b>            | <b>DATE OF LAST STEP INCREASE</b> |
|   |                                |                           |                                   |                                |                                   |
| <b>SUPERVISOR'S NAME (FIRST NAME LAST NAME)</b>   |                                |                           |                                   | <b>THIS REPORT IS FOR</b>      |                                   |
|   |                                |                           |                                   | Select Report ▼                |                                   |
| <b>VERIFICATION OF FACE-TO-FACE DISCUSSION</b>  |                                |                           |                                   |                                |                                   |
| The following face-to-face discussions took place regarding career path, academic rank, factors, factor weights (if any), discriminators, descriptors, expected overall contribution based on the faculty's current academic rank, and contribution objectives for the rating period. Copies of the initial, mid-year, and any other formal reviews should be retained in the faculty's local record until the end of the rating period. At the end of the rating period the final FCAR should be retained as a permanent part of the faculty's local record. |                                |                           |                                   |                                |                                   |
| <b>Face-to-Face Discussions</b>   | <b>Date (mm/dd/yyyy)</b>       | <b>Faculty's Initials</b> | <b>Supervisor's Initials</b>      | <b>Senior Rater's Initials</b> |                                   |
| Initial   |                                |                           |                                   |                                |                                   |
| Mid-Year  |                                |                           |                                   |                                |                                   |
| Final   |                                |                           |                                   |                                |                                   |
| Other, as needed  |                                |                           |                                   |                                |                                   |
| <b>Section II. FACTOR WEIGHTING:</b>  |                                |                           | <b>Initial</b>                    | <b>Mid-Year</b>                | <b>Final</b>                      |
| <b>Assessment Weight of Factors:</b>  |                                |                           | enter %'s as .1=10%, .2=20%       |                                |                                   |
| <b>1. Teaching:</b>   | <b>Factor Wt.</b>              | 0%                        | 0%                                | 0%                             |                                   |
| <b>2. Research: Extent and Product of Research:</b>   | <b>Factor Wt.</b>              | 0%                        | 0%                                | 0%                             |                                   |
| <b>3. Professional Development:</b>   | <b>Factor Wt.</b>              | 0%                        | 0%                                | 0%                             |                                   |
| <b>4. Leadership/Resource Management:</b>   | <b>Factor Wt.</b>              | 0%                        | 0%                                | 0%                             |                                   |
| <b>5. Performance Support:</b>  | <b>Factor Wt.</b>              | 0%                        | 0%                                | 0%                             |                                   |
| <b>6. Curriculum Development:</b>   | <b>Factor Wt.</b>              | 0%                        | 0%                                | 0%                             |                                   |
| <b>7. Knowledge Management:</b>   | <b>Factor Wt.</b>              | 0%                        | 0%                                | 0%                             |                                   |
| <b>Overall Total Factor Wt. (must be 100%)</b>  |                                | 0%                        | 0%                                | 0%                             |                                   |
| FCAR Page 1   |                                |                           |                                   |                                |                                   |

|   |  |            |           |                  |                   |                            |
|---|--|------------|-----------|------------------|-------------------|----------------------------|
| FACULTY NAME (FIRST NAME MI LAST NAME)                                |  |            |           |                  | RECORDING COMMAND |                            |
| 0   |  |            |           |                  | 0                 |                            |
| RATING PERIOD:mm/dd/yyyy  |  | FROM:      | 10/1/2002 | TO:              | 9/30/2003         | This Record is for:- Other |
| Section III. Factor 1: Teaching                                       |  |            |           |                  |                   |                            |
| Contribution objectives for the rating period:                        |  |            |           |                  |                   |                            |
| <div>1.</div> <div>2.</div> <div>3.</div> <div>4.</div> <div>5.</div> |  |            |           |                  |                   |                            |
| Faculty Contribution Statements:                                      |  |            |           |                  |                   |                            |
| <div>1.</div> <div>2.</div> <div>3.</div> <div>4.</div> <div>5.</div> |  |            |           |                  |                   |                            |
| Supervisor comments:  |  | Factor Wt. | N/A       | Descriptor Level | Select Level ▼    | Factor Score:              |
| <div>1.</div> <div>2.</div> <div>3.</div> <div>4.</div> <div>5.</div> |  |            |           |                  |                   |                            |
| FCAR Page 2   |  |            |           |                  |                   |                            |

|  |  |            |           |                  |                   |                             |
|--|--|------------|-----------|------------------|-------------------|-----------------------------|
| FACULTY NAME (FIRST NAME MI LAST NAME)   |  |            |           |                  | RECORDING COMMAND |                             |
| 0  |  |            |           |                  | 0                 |                             |
| RATING PERIOD:mm/dd/yyyy   |  | FROM:      | 10/1/2002 | TO:              | 9/30/2003         | This Record is for: - Other |
| Section III. Factor 2: Research  |  |            |           |                  |                   |                             |
| Contribution objectives for the rating period:                                     |  |            |           |                  |                   |                             |
| <div> <div>1.</div> <div>2.</div> <div>3.</div> <div>4.</div> <div>5.</div> </div> |  |            |           |                  |                   |                             |
| Faculty Contribution Statements:   |  |            |           |                  |                   |                             |
| <div> <div>1.</div> <div>2.</div> <div>3.</div> <div>4.</div> <div>5.</div> </div> |  |            |           |                  |                   |                             |
| Supervisor comments:   |  | Factor Wt. | N/A       | Descriptor Level | Select Level ▼    | Factor Score:               |
| <div> <div>1.</div> <div>2.</div> <div>3.</div> <div>4.</div> <div>5.</div> </div> |  |            |           |                  |                   |                             |
| FCAR Page 3  |  |            |           |                  |                   |                             |

|  |  |            |           |                  |                   |                             |
|--|--|------------|-----------|------------------|-------------------|-----------------------------|
| FACULTY NAME (FIRST NAME MI LAST NAME)   |  |            |           |                  | RECORDING COMMAND |                             |
| 0  |  |            |           |                  | 0                 |                             |
| RATING PERIOD:mm/dd/yyyy   |  | FROM:      | 10/1/2002 | TO:              | 9/30/2003         | This Record is for: - Other |
| Section III. Factor 3: Professional Development                                    |  |            |           |                  |                   |                             |
| Contribution objectives for the rating period:                                     |  |            |           |                  |                   |                             |
| <div> <div>1.</div> <div>2.</div> <div>3.</div> <div>4.</div> <div>5.</div> </div> |  |            |           |                  |                   |                             |
| Faculty Contribution Statements:   |  |            |           |                  |                   |                             |
| <div> <div>1.</div> <div>2.</div> <div>3.</div> <div>4.</div> <div>5.</div> </div> |  |            |           |                  |                   |                             |
| Supervisor comments:   |  | Factor Wt. | N/A       | Descriptor Level | Select Level ▼    | Factor Score:               |
| <div> <div>1.</div> <div>2.</div> <div>3.</div> <div>4.</div> <div>5.</div> </div> |  |            |           |                  |                   |                             |
| FCAR Page 4  |  |            |           |                  |                   |                             |

|   |  |            |           |                  |                   |                             |
|---|--|------------|-----------|------------------|-------------------|-----------------------------|
| FACULTY NAME (FIRST NAME MI LAST NAME)                                |  |            |           |                  | RECORDING COMMAND |                             |
| 0   |  |            |           |                  | 0                 |                             |
| RATING PERIOD:mm/dd/yyyy  |  | FROM:      | 10/1/2002 | TO:              | 9/30/2003         | This Record is for: - Other |
| <b>Section III. Factor 4: Leadership &amp; Resource Management</b>    |  |            |           |                  |                   |                             |
| Contribution objectives for the rating period:                        |  |            |           |                  |                   |                             |
| <div>1.</div> <div>2.</div> <div>3.</div> <div>4.</div> <div>5.</div> |  |            |           |                  |                   |                             |
| Faculty Contribution Statements:                                      |  |            |           |                  |                   |                             |
| <div>1.</div> <div>2.</div> <div>3.</div> <div>4.</div> <div>5.</div> |  |            |           |                  |                   |                             |
| Supervisor comments:  |  | Factor Wt. | N/A       | Descriptor Level | Select Level ▼    | Factor Score:               |
| <div>1.</div> <div>2.</div> <div>3.</div> <div>4.</div> <div>5.</div> |  |            |           |                  |                   |                             |
| FCAR Page 5   |  |            |           |                  |                   |                             |

|  |  |            |           |                  |                   |                             |
|--|--|------------|-----------|------------------|-------------------|-----------------------------|
| FACULTY NAME (FIRST NAME MI LAST NAME)   |  |            |           |                  | RECORDING COMMAND |                             |
| 0  |  |            |           |                  | 0                 |                             |
| RATING PERIOD:mm/dd/yyyy   |  | FROM:      | 10/1/2002 | TO:              | 9/30/2003         | This Record is for: - Other |
| <b>Section III. Factor 5: Performance Support</b>                                  |  |            |           |                  |                   |                             |
| Contribution objectives for the rating period:                                     |  |            |           |                  |                   |                             |
| <div> <div>1.</div> <div>2.</div> <div>3.</div> <div>4.</div> <div>5.</div> </div> |  |            |           |                  |                   |                             |
| Faculty Contribution Statements:   |  |            |           |                  |                   |                             |
| <div> <div>1.</div> <div>2.</div> <div>3.</div> <div>4.</div> <div>5.</div> </div> |  |            |           |                  |                   |                             |
| Supervisor comments:   |  | Factor Wt. | N/A       | Descriptor Level | Select Level ▼    | Factor Score:               |
| <div> <div>1.</div> <div>2.</div> <div>3.</div> <div>4.</div> <div>5.</div> </div> |  |            |           |                  |                   |                             |
| FCAR Page 6  |  |            |           |                  |                   |                             |



|  |  |            |           |                  |                   |                             |
|--|--|------------|-----------|------------------|-------------------|-----------------------------|
| FACULTY NAME (FIRST NAME MI LAST NAME)   |  |            |           |                  | RECORDING COMMAND |                             |
| 0  |  |            |           |                  | 0                 |                             |
| RATING PERIOD:mm/dd/yyyy   |  | FROM:      | 10/1/2002 | TO:              | 9/30/2003         | This Record is for: - Other |
| <b>Section III. Factor 6: Curriculum Development</b>                               |  |            |           |                  |                   |                             |
| Contribution objectives for the rating period:                                     |  |            |           |                  |                   |                             |
| <div> <div>1.</div> <div>2.</div> <div>3.</div> <div>4.</div> <div>5.</div> </div> |  |            |           |                  |                   |                             |
| Faculty Contribution Statements:   |  |            |           |                  |                   |                             |
| <div> <div>1.</div> <div>2.</div> <div>3.</div> <div>4.</div> <div>5.</div> </div> |  |            |           |                  |                   |                             |
| Supervisor comments:   |  | Factor Wt. | N/A       | Descriptor Level | Select Level ▼    | Factor Score:               |
| <div> <div>1.</div> <div>2.</div> <div>3.</div> <div>4.</div> <div>5.</div> </div> |  |            |           |                  |                   |                             |
| FCAR Page 7  |  |            |           |                  |                   |                             |

|  |  |            |           |                  |                   |                             |
|--|--|------------|-----------|------------------|-------------------|-----------------------------|
| FACULTY NAME (FIRST NAME MI LAST NAME)   |  |            |           |                  | RECORDING COMMAND |                             |
| 0  |  |            |           |                  | 0                 |                             |
| RATING PERIOD:mm/dd/yyyy   |  | FROM:      | 10/1/2002 | TO:              | 9/30/2003         | This Record is for: - Other |
| <b>Section III. Factor 7: Knowledge Management</b>                                 |  |            |           |                  |                   |                             |
| Contribution objectives for the rating period:                                     |  |            |           |                  |                   |                             |
| <div> <div>1.</div> <div>2.</div> <div>3.</div> <div>4.</div> <div>5.</div> </div> |  |            |           |                  |                   |                             |
| Faculty Contribution Statements:   |  |            |           |                  |                   |                             |
| <div> <div>1.</div> <div>2.</div> <div>3.</div> <div>4.</div> <div>5.</div> </div> |  |            |           |                  |                   |                             |
| Supervisor comments:   |  | Factor Wt. | N/A       | Descriptor Level | Select Level ▼    | Factor Score:               |
| <div> <div>1.</div> <div>2.</div> <div>3.</div> <div>4.</div> <div>5.</div> </div> |  |            |           |                  |                   |                             |
| FCAR Page 8  |  |            |           |                  |                   |                             |

|  |   |              |           |                          |           |
|--|---|--------------|-----------|--------------------------|-----------|
| <b>FACULTY NAME (FIRST NAME MI LAST NAME)</b>  |   |              |           | <b>RECORDING COMMAND</b> |           |
| 0  |   |              |           | 0                        |           |
| <b>RATING PERIOD:mm/dd/yyyy</b>  |   | <b>FROM:</b> | 10/1/2002 | <b>TO:</b>               | 9/30/2003 |
| <b>This Record is for: - Other</b>   |   |              |           |                          |           |
| <b>Section IV. SUPERVISOR'S CONTRIBUTION ASSESSMENT SUMMARY:</b>   |   |              |           |                          |           |
| <b>a. Accomplishments:</b> Summarize significant overall accomplishments and supplement information provided in Sections III.        |   |              |           |                          |           |
|  |   |              |           |                          |           |
| <b>b. Development:</b> Summarize constructive suggestions for faculty development and improved job performance in this section.      |   |              |           |                          |           |
|  |   |              |           |                          |           |
| <b>c. Additional Remarks:</b> Summarize any additional applicable remarks.   |   |              |           |                          |           |
|  |   |              |           |                          |           |
| <b>Section V. FACULTY AND SUPERVISOR PRINT, SIGN AND DATE.</b>   |   |              |           |                          |           |
| This faculty member has been under my supervision for:   |   |              | Years     |                          | Months    |
| Print Supervisor's Name:   |   |              |           |                          |           |
| Supervisor's Signature: _____  |   |              |           | Date:                    |           |
| My supervisor has discussed this record with me and I have the following remarks, if any, regarding my assessment:                   |   |              |           |                          |           |
|  |   |              |           |                          |           |
| Print Faculty's Name:  | 0 |              |           |                          |           |
| Faculty's Signature: _____   |   |              |           | Date:                    |           |
| Print Next Higher Level Supervisor's Name (As Appropriate):  |   |              |           |                          |           |
| Next Higher Level Supervisor's Signature: _____  |   |              |           | Date:                    |           |
| Print Next Higher Level Supervisor's Name (As Appropriate):  |   |              |           |                          |           |
| Next Higher Level Supervisor's Signature: _____  |   |              |           | Date:                    |           |
| When completed, the faculty retains the original. Copies will be forwarded to the DAU Personnel File and should be retained locally. |   |              |           |                          |           |
| <b>FCAR Page 9</b>   |   |              |           |                          |           |

| <b>DAU Faculty Contribution Assessment Record (FCAR)</b>                                     |                       |               |                   |                      |
|--|-----------------------|---------------|-------------------|----------------------|
| <b>Contribution Assessment Compilation Form</b>  |                       |               |                   |                      |
| FACULTY NAME (FIRST NAME MI LAST NAME)   |                       |               | RECORDING COMMAND |                      |
| 0  |                       |               | 0                 |                      |
| RATING PERIOD:mm/dd/yyyy   | FROM:                 | 10/1/2002     | TO:               | 9/30/2003            |
| Rating Period reflected by this contribution score is (only Mid-Year and Final give scores): |                       |               |                   | Other - N/A          |
| <b>Section VI. Factors Composite Worksheet</b>   | <b>Factor Weight*</b> | <b>Factor</b> | <b>Score*</b>     | <b>Factor Value*</b> |
| 1. Teaching:   | N/A                   | 0.00          |                   | N/A                  |
| 2. Research: Extent and Product of Research:   | N/A                   | 0.00          |                   | N/A                  |
| 3. Professional Development:   | N/A                   | 0.00          |                   | N/A                  |
| 4. Leadership/Resource Management:   | N/A                   | 0.00          |                   | N/A                  |
| 5. Performance Support:  | N/A                   | 0.00          |                   | N/A                  |
| 6. Curriculum Development:   | N/A                   | 0.00          |                   | N/A                  |
| 7. Knowledge Management:   | N/A                   | 0.00          |                   | N/A                  |
| <b>Total Contribution Score*</b>   | #VALUE!               |               |                   | 0.00                 |
| *Factor Weight = Imported directly from Section II   |                       |               |                   |                      |
| *Factor Score = Imported directly from Section III   |                       |               |                   |                      |
| *Factor Value = Factor Weight x Factor Score x 20  |                       |               |                   |                      |
| *Total Contribution Score = sum of Factor Values   |                       |               |                   |                      |
| NOTE: Maximum possible score is 100  |                       |               |                   |                      |
| FCAR Page 10   |                       |               |                   |                      |

## ***DAU Faculty Contribution Assessment Process (FCAP) Regional Status and Awards Report***

The FCAP Regional Status and Awards Report is designed to allow a region or other reporting organization to record results from the mid-year and final assessments of the faculty FCARs. The region/organization leadership team should compile the report. **As the results include personal assessment and awards data, they shall be kept confidential among the senior leadership.** The DAU senior leadership will review the report at the mid-year to highlight contribution progress across the regions. The Concurrence Review Board will review the final assessments and regional recommended awards for a comparison across the University and calibrate process as needed. The report consolidates the calculated contribution scores, calculates some comparative statistical information, records both regional and final awards, and provides an overall summary of all data.

**Note:** The *Region Title V Faculty Assessment Summary* provides a section for tracking the assessments and potential awards for Title V faculty. Because of the use of different award pools the total faculty assessment summary at the end of the report does not include the Title V amounts. The Title V summary contains its own totals.

Each academic rank and the Title V section is identical.

Name: Faculty member's name.

Region: Insert abbreviated region or organization name. It is only necessary to insert the region or organizational unit abbreviation on the first entry line of the AD-01 faculty. The other entries will automatically fill in after this one entry is made.

Rank: Academic rank at time of the assessment.

Current Step: Current step at time of the assessment.

Total Contribution Score: Insert the Total Contribution score from each faculty members FCARs. NOTE: It is important that any row that does not have a faculty listed has a corresponding blank (empty or null value) cell for this entry. One method to ensure a null value is to highlight the cell and press "back space."

Deviation from Mean: This value is calculated to provide a comparative assessment of each faculty's score against the mean value for that peer group. A positive score indicates the magnitude of additional contribution exceeding the norm. This is a valuable indicator that can be used to illustrate significant contributions within a region.

Region Award Recommendation: Completed by the region leadership.

Step Increase: Indicates any recommended step increase.

Monetary: Indicates any recommended monetary award.

Final Award: Indicates total final approved award, including the Region Award Recommendation and any adjustments from the CRB.

Step Increase: Indicates any final approved step increase.

Monetary: Indicates any final approved monetary award.

Other Cash Awards for this Period: Indicates the sum of all other on-the-spot and special act awards given during the performance period.

Amount of Award: Total of all other On-the-Spot and Special Act awards given during the performance period.

Mean: Returns the average of all total contribution scores for the peer group. This value is used in the Deviation from Mean.

Median: Returns the value of the central score (if odd number of records), or average of the two central scores (if even number of records) for the data population. This value, when compared to the mean, gives an indication of the how the density of the distribution is skewed. For example, if the median is less than the mean, then the density is skewed higher, indicating greater overall contribution by the population than the median.

Standard Deviation: This value gives an indication of how well spread out the data population is.

Initial comparative analysis should be conducted within the four academic ranks (peer groups). The report automatically summarizes the results of each of the four areas in a total faculty assessment summary at the end of the report. Further, an overall set of statistical data is computed using all four data populations (total region population). The summary data also gathers the results of the awards recommendations and provides a tracking mechanism for comparing the regional allocated awards pool (steps and monetary) against those recommended. The only additional data that needs to be entered is the award pool data provided by the Office of the Provost prior to the end of the assessment period.

Total Allocated - Step Increases: Indicates the total number of steps of the region's award pool.

Total Allocated - Monetary: Indicates the total monetary portion of the region's award pool.

Remainder - Step Increases: A positive value indicates the number of steps left for distribution. A negative value indicates the recommended step awards exceed the number allocated.

Remainder – Monetary: A positive value indicates the amount of monetary award left for distribution. A negative (contained in parentheses) value indicates the recommended monetary awards exceed the amount allocated to the region.

| DAU Faculty Contribution Assessment Process (FCAP) |              |       |              |                          |                     |                             |               |               |                             |                               |
|--|--------------|-------|--------------|--------------------------|---------------------|-----------------------------|---------------|---------------|-----------------------------|-------------------------------|
| Regional Status and Awards Report                  |              |       |              |                          |                     |                             |               |               |                             |                               |
| Region AD-1 Faculty Assessment Summary             |              |       |              |                          |                     |                             |               |               |                             |                               |
| Name   | Region (Abr) | Rank  | Current Step | Total Contribution Score | Deviation from Mean | Region Award Recommendation |               | Final Award   |                             | Other Cash Awards this Period |
|  |              |       |              |                          |                     | Step Increase               | Monetary      | Step Increase | Monetary                    | Amount of Award               |
|  | WR           | AD-1  |              | 0                        | 0                   | 0                           | \$ -          | 0             | \$ -                        | \$ -                          |
|  | WR           | AD-1  |              | 0                        | 0                   | 0                           | \$ -          | 0             | \$ -                        | \$ -                          |
|  | WR           | AD-1  |              |                          | 0                   | 0                           | \$ -          | 0             | \$ -                        | \$ -                          |
|  | WR           | AD-1  |              |                          | 0                   | 0                           | \$ -          | 0             | \$ -                        | \$ -                          |
|  | WR           | AD-1  |              |                          | 0                   | 0                           | \$ -          | 0             | \$ -                        | \$ -                          |
|  | WR           | AD-1  |              |                          | 0                   | 0                           | \$ -          | 0             | \$ -                        | \$ -                          |
| Mean   |              |       |              | 0.000                    |                     |                             |               |               |                             |                               |
| Median   |              |       |              | 0.000                    |                     |                             |               |               |                             |                               |
| Standard Deviation                                 |              |       |              | 0.000                    |                     |                             |               |               |                             |                               |
| Total  |              |       |              |                          |                     | 0                           | \$ -          | 0             | \$ -                        | \$ -                          |
| Region AD-2 Faculty Assessment Summary             |              |       |              |                          |                     |                             |               |               |                             |                               |
| Name   | Region (Abr) | Rank  | Current Step | Total Contribution Score | Deviation from Mean | Region Award Recommendation |               | Final Award   |                             | Other Cash Awards this Period |
|  |              |       |              |                          |                     | Step Increase               | Monetary      | Step Increase | Monetary                    | Amount of Award               |
|  | WR           | AD-2  |              | 0                        | 0.000               | 0                           | \$ -          | 0             | \$ -                        | \$ -                          |
|  | WR           | AD-2  |              | 0                        | 0.000               | 0                           | \$ -          | 0             | \$ -                        | \$ -                          |
|  | WR           | AD-2  |              |                          | 0.000               | 0                           | \$ -          | 0             | \$ -                        | \$ -                          |
|  | WR           | AD-2  |              |                          | 0.000               | 0                           | \$ -          | 0             | \$ -                        | \$ -                          |
|  | WR           | AD-2  |              |                          | 0.000               | 0                           | \$ -          | 0             | \$ -                        | \$ -                          |
|  | WR           | AD-2  |              |                          | 0.000               | 0                           | \$ -          | 0             | \$ -                        | \$ -                          |
|  | WR           | AD-2  |              |                          | 0.000               | 0                           | \$ -          | 0             | \$ -                        | \$ -                          |
|  | WR           | AD-2  |              |                          | 0.000               | 0                           | \$ -          | 0             | \$ -                        | \$ -                          |
|  | WR           | AD-2  |              |                          | 0.000               | 0                           | \$ -          | 0             | \$ -                        | \$ -                          |
|  | WR           | AD-2  |              |                          | 0.000               | 0                           | \$ -          | 0             | \$ -                        | \$ -                          |
| Mean   |              |       |              | 0.000                    |                     |                             |               |               |                             |                               |
| Median   |              |       |              | 0.000                    |                     |                             |               |               |                             |                               |
| Standard Deviation                                 |              |       |              | 0.000                    |                     |                             |               |               |                             |                               |
| Total  |              |       |              |                          |                     | 0                           | \$ -          | 0             | \$ -                        | \$ -                          |
| Region AD-3 Faculty Assessment Summary             |              |       |              |                          |                     |                             |               |               |                             |                               |
| Name   | Region (Abr) | Rank  | Current Step | Total Contribution Score | Deviation from Mean | Region Award Recommendation |               | Final Award   |                             | Other Cash Awards this Period |
|  |              |       |              |                          |                     | Step Increase               | Monetary      | Step Increase | Monetary                    | Amount of Award               |
|  | WR           | AD-3  |              | 0                        | 0.000               | 0                           | \$ -          | 0             | \$ -                        | \$ -                          |
|  | WR           | AD-3  |              | 0                        | 0.000               | 0                           | \$ -          | 0             | \$ -                        | \$ -                          |
|  | WR           | AD-3  |              |                          | 0.000               | 0                           | \$ -          | 0             | \$ -                        | \$ -                          |
|  | WR           | AD-3  |              |                          | 0.000               | 0                           | \$ -          | 0             | \$ -                        | \$ -                          |
|  | WR           | AD-3  |              |                          | 0.000               | 0                           | \$ -          | 0             | \$ -                        | \$ -                          |
|  | WR           | AD-3  |              |                          | 0.000               | 0                           | \$ -          | 0             | \$ -                        | \$ -                          |
|  | WR           | AD-3  |              |                          | 0.000               | 0                           | \$ -          | 0             | \$ -                        | \$ -                          |
|  | WR           | AD-3  |              |                          | 0.000               | 0                           | \$ -          | 0             | \$ -                        | \$ -                          |
|  | WR           | AD-3  |              |                          | 0.000               | 0                           | \$ -          | 0             | \$ -                        | \$ -                          |
|  | WR           | AD-3  |              |                          | 0.000               | 0                           | \$ -          | 0             | \$ -                        | \$ -                          |
| Mean   |              |       |              | 0.000                    |                     |                             |               |               |                             |                               |
| Median   |              |       |              | 0.000                    |                     |                             |               |               |                             |                               |
| Standard Deviation                                 |              |       |              | 0.000                    |                     |                             |               |               |                             |                               |
| Total  |              |       |              |                          |                     | 0                           | \$ -          | 0             | \$ -                        | \$ -                          |
| Region AD-4 Faculty Assessment Summary             |              |       |              |                          |                     |                             |               |               |                             |                               |
| Name   | Region (Abr) | Rank  | Current Step | Total Contribution Score | Deviation from Mean | Region Award Recommendation |               | Final Award   |                             | Other Cash Awards this Period |
|  |              |       |              |                          |                     | Step Increase               | Monetary      | Step Increase | Monetary                    | Amount of Award               |
|  | WR           | AD-4  |              | 0                        | 0.000               | 0                           | \$ -          | 0             | \$ -                        | \$ -                          |
|  | WR           | AD-4  |              | 0                        | 0.000               | 0                           | \$ -          | 0             | \$ -                        | \$ -                          |
|  | WR           | AD-4  |              |                          | 0.000               | 0                           | \$ -          | 0             | \$ -                        | \$ -                          |
|  | WR           | AD-4  |              |                          | 0.000               | 0                           | \$ -          | 0             | \$ -                        | \$ -                          |
| Mean   |              |       |              | 0.000                    |                     |                             |               |               |                             |                               |
| Median   |              |       |              | 0.000                    |                     |                             |               |               |                             |                               |
| Standard Deviation                                 |              |       |              | 0.000                    |                     |                             |               |               |                             |                               |
| Total  |              |       |              |                          |                     | 0                           | \$ -          | 0             | \$ -                        | \$ -                          |
| Region Title V Faculty Assessment Summary          |              |       |              |                          |                     |                             |               |               |                             |                               |
| Name   | Region (Abr) | Rank  | Current Step | Total Contribution Score | Deviation from Mean | Region Award Recommendation |               | Final Award   |                             | Other Cash Awards this Period |
|  |              |       |              |                          |                     | Step Increase               | Monetary      | Step Increase | Monetary                    | Amount of Award               |
|  | WR           | GS-   |              | 0                        | 0.000               | 0                           | \$ -          | 0             | \$ -                        | \$ -                          |
|  | WR           | GS-   |              | 0                        | 0.000               | 0                           | \$ -          | 0             | \$ -                        | \$ -                          |
|  | WR           | GS-   |              |                          | 0.000               | 0                           | \$ -          | 0             | \$ -                        | \$ -                          |
|  | WR           | GS-   |              |                          | 0.000               | 0                           | \$ -          | 0             | \$ -                        | \$ -                          |
| Mean   |              |       |              | 0.000                    |                     |                             |               |               |                             |                               |
| Median   |              |       |              | 0.000                    |                     |                             |               |               |                             |                               |
| Standard Deviation                                 |              |       |              | 0.000                    |                     |                             |               |               |                             |                               |
| Total  |              |       |              |                          |                     | 0                           | \$ -          | 0             | \$ -                        | \$ -                          |
| Region Total Faculty Assessment Summary            |              |       |              |                          |                     |                             |               |               |                             |                               |
|  | Region (Abr) | Mean  | Median       | Std. Dev.                | Step Increase       | Monetary                    | Step Increase | Monetary      | Amount of Other Cash Awards |                               |
| AD-1's   | WR           | 0.000 | 0.000        | 0.000                    | 0                   | \$ -                        | 0             | \$ -          | \$ -                        | \$ -                          |
| AD-2's   | WR           | 0.000 | 0.000        | 0.000                    | 0                   | \$ -                        | 0             | \$ -          | \$ -                        | \$ -                          |
| AD-3's   | WR           | 0.000 | 0.000        | 0.000                    | 0                   | \$ -                        | 0             | \$ -          | \$ -                        | \$ -                          |
| AD-4's   | WR           | 0.000 | 0.000        | 0.000                    | 0                   | \$ -                        | 0             | \$ -          | \$ -                        | \$ -                          |
| Total All AD Levels                                | WR           | 0     | 0            | 0.000                    | 0                   | \$ -                        | 0             | \$ -          | \$ -                        | \$ -                          |
| Total Allocated                                    | WR           |       |              |                          | 0                   | \$ -                        |               |               |                             |                               |
| Remainder  | WR           |       |              |                          | 0                   | \$ -                        |               |               |                             |                               |

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## DEFINITIONS AND ACRONYMS

**ANNUAL ASSESSMENT PERIOD**—normally a one-year period from 1 October through 30 September.

**DESCRIPTORS**— are narrative statements that describe contribution or performance typical at increasing levels of contribution and are the basis for contribution assessment. Level 1 is the lowest level of contribution, Level 3 the standard, and Level 5 the highest. The descriptors indicate the contribution for the high end of each level. The descriptors are not to be used individually to assess contribution, but rather are to be taken as a whole to derive a single evaluation of the factor.

The table below reflects the range of scores;

| Descriptor Level | Range of Score |
|------------------|----------------|
| 1                | 0.0 – 1.0      |
| 2                | 1.1 – 2.0      |
| 3                | 2.1 – 3.0      |
| 4                | 3.1 – 4.0      |
| 5                | 4.1 – 5.0      |

**DISCRIMINATORS**—various categories of a factor, which may be considered when setting employee contribution objectives and assessing employee contributions. For example, the Teaching Factor has five discriminators: Knowledge, Attitude, Skills, Awareness, and Teamwork/Cooperation.

**FACULTY CONTRIBUTION ASSESSMENT PROCESS (FCAP)**—a contribution-based appraisal system, which measures and aligns each faculty member's contribution to the mission and goals of the DAU.

**FACULTY CONTRIBUTION ASSESSMENT RECORD (FCAR)**—documents the contribution plan, faculty workload model, face-to-face discussions, and the final assessment report.

**FACULTY PLANNED WORKLOAD MODEL**—A combination of this distribution of emphasis highlighted by the factor weights and the contribution objectives in Section III establishes the overall planned workload model for the faculty member.

**FACTORS**—broadly defined areas of the DAU mission which are the basis for assessing faculty contribution or performance. These are: Teaching, Research, Professional Development, Leadership/Resource Management, Performance Support, Curriculum Development, and Knowledge Management.

**FACTOR WEIGHTING**—a mutually agreed value, which reflects increased or decreased emphasis on a particular factor during the assessment period.

**INDIVIDUAL DEVELOPMENT PLAN (IDP)**—a mutually agreed upon approach to help each faculty member achieve career goals and professional development within the context of the DAU's strategic objectives.

**AD**—Administratively Determined

**AT & L**—Acquisition, Technology and Logistics

**CDSC**—Curriculum Development and Support Center

**CoP**—Communities of Practice

**CRB**—Concurrence Review Board

**DACM**—Defense Acquisition Career Manager

**DSMC**—Defense Systems Management College

**FCAP**—Faculty Contribution Assessment Process

**FCAR**—Faculty Contribution Assessment Report

**FPDE**—Faculty Professional Development in Education

**HRO**—Human Resource Office

**IDP**—Individual Development Plan

**KM**—Knowledge Management

**SAR**—Significant Activities Report

**SPAG**—Strategic Planning Action Group

## WRITING GOALS AND RESULTS FOR CONTRIBUTIONS

**WRITING GOALS, OBJECTIVES, AND CONTRIBUTION STATEMENTS:** One of the most critical aspects of the FCAP is the effective communication of contribution planning and recording throughout the reporting period. The FCAR is the principle recording mechanism used to document the plan and specific contributions. The focus of the FCAP is on contributions rather than activities. While some activities do add value to the DAU ALL approved contributions, by definition, add value. When developing goals and objectives for a reporting period it is essential to consider both utility and application as they relate to the mission and goals of the DAU. Similarly, when drafting contribution statements to record specific actions taken to achieve goals and objectives one must emphasis the utility and application of the action.

### **Recommended Steps for Goal Writing**

1. Start with the word "To"....
2. Followed with an action verb.
3. Specify a key result.
4. Specify a target date or other indicator for completion.
5. Specify the what, when, and/or how much; not the why and how.

| <b><u>Example Goal Writing: Activity</u></b> | <b><u>Example Goal Writing: Contribution</u></b>   |
|--|--|
| To attend CON 246                            | To attend CON 246 to prepare to teach by 2 <sup>nd</sup> Qtr   |
| To conduct research                          | To conduct research on Leadership to develop curriculum for CON 100 May deployment   |
| To attend GSA conference                     | To attend June GSA conference as a speaker on PBSA   |
| To publish an article                        | To publish an article in a refereed journal by 3 <sup>rd</sup> Qtr, article will address PML   |
| To serve as mentor                           | To serve as Ms. Ima Intern's mentor regarding PBSA   |
| To work on cross certification               | To complete Level 1 in Acquisition Logistics by Mar.   |
| To serve as course manager                   | Serve as course manager for ACQ123, providing monthly updates to all ACQ123 instructors  |
| To attend NCMA conference                    | To attend NCMA June conference to incorporate current practices into delivery of class material and provide knowledge nuggets to COP |

| <b><u>Example Results Writing: Activity</u></b> | <b><u>Example Results Writing: Contribution</u></b>  |
|---|--|
| Attended CON 246                                | Observed & team taught CON246 (120 hours)  |
| Taught CON 101 as scheduled                     | Taught 8 weeks of CON101 (320 hours), recognized by students for subject matter expertise and classroom management through emailed appreciation letters.   |
| Conducted research on Leadership                | Used Leadership research to develop curriculum in 2 modules for CON100 including Student Guide and Instructor Guide with Power Point slides  |
| Published an article                            | Published article "Pay for Performance: Performance, Politics, or Personality?" in Public Administration Review  |
| Served as mentor                                | Served as Ms. Ima Intern's mentor in PBSA providing one-to-one sessions on teaching PBSA course (40 hours)   |
| Cross Certified                                 | Cross Certified at Level 1 in Acquisition Logistics to prepare for Level 2 to teach ACQ201B  |
| Attended GSA conference                         | Presented PBSA topic as speaker at GSA Conference (audience-80)  |
| Served as course manager                        | Served as course manager for ACQ123 & held quarterly meetings to brainstorm improvement ideas. Added games & puzzles for test review   |
| Attended NCMA conference                        | Attended workshops on current commercial practices & how to write a Performance Based Statement Work and facilitated faculty forums on the topics at quarterly region training.  |
| Attended FPDE #5 and #7                         | Attended FPDE #5 and #7 to improve skills for infusing complex thinking skills into the classroom and transferring ownership of the learning process to the students. Have applied learnings in PMT352 and CON333 presentations with great success based on student EOCQs and peer observations. Resulted in an increase in instruction quality and more effective student learning. |

|   |   |
|---|---|
| Revised CON 123 curricula.                    | At the direction of the CDSC Director of Contracting, led a cross-regional IPT to significantly revise 4 units of instruction in CON123 to incorporate new guidance issued by OSD(AT&L). Done in 6 weeks with no impact to scheduled course offerings. UOIs may be incorporated in other CON courses. |
| Performed fee-for-service performance support | Name requested by Fort Swampy Director of Contracting to work with staff to streamline processing of end-of-year buys. Resulted in reduced overtime by contracting specialists during 4QFYXX.   |
| Shared knowledge with CoP                     | Input knowledge nuggets gained from CON123 curricula revision and FFS performance support project to contracting CoP. Contracting CoP manager reports a resultant 25% increase in inquiries.  |
| Served as President of NCMA chapter           | Served as President, Central Virginia Chapter, NCMA. Met with 25 local business and industry leaders to encourage NCMA corporate membership and to market the targeted training, performance support, and research capabilities of the DAU and the Mid-Atlantic Region, in particular.                |
| Presented Faculty Forum                       | Presented a well-received Faculty Forum on lessons learned from FFS performance support project for Fort Swampy Directorate of Contracting to 24 regional faculty and invited Patuxent Naval Station, Directorate of Contracting participants.  |